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PATENTS, TRADEMARKS, COPYRIGHTS  
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March 21, 2000

**UTILITY PATENT APPLICATION TRANSMITTAL**  
(new nonprovisional applications under 37 CFR 1.53 (b))

Attorney Docket Number: UMO 1528  
First Named Inventor: Michael R. Van De Mark  
Express Mail Label Number: EL303151192US

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09/532839  
03/21/00

TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

**APPLICATION ELEMENTS**

1.  Fee Transmittal Form  
(original and duplicate)
2.  Specification [Total Pages 72]
3.  Drawings [Total Sheets       ]
4. Oath or Declaration [Total Pages 5]
  - a.  Newly executed (original or copy)  
 New (unexecuted)
  - b.  Copy from a prior application  
(for continuation/divisional with  
Box 17 completed)
    - i.  DELETION OF INVENTOR(s)  
Signed statement attached  
deleting inventor(s) named  
in prior application.
5.  Incorporation By Reference  
(useable if Box 4b is marked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6.  Microfiche Computer Program (Appendix)
7.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Copy
  - b.  Paper Copy (identical to computer copy)
  - c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8.  Assignment Papers (cover sheet & document(s))
9.  37 CFR 3.73(b) Statement  Power of Attorney
10.  English Translation Document (if applicable)
11.  IDS with PTO-1449  Copies of IDS Citations
12.  Preliminary Amendment
13.  Return Receipt Postcard
14.  Small Entity Statement(s)  
 Statement filed in prior application; status still proper and desired
15.  Certified Copy of Priority Document(s) if foreign priority is claimed
16.  Other: \_\_\_\_\_

**IF A CONTINUING APPLICATION, CHECK APPROPRIATE  
BOX AND SUPPLY THE REQUISITE INFORMATION**

17.  Continuation  Divisional  Continuation-in-Part of prior application No.: \_\_\_\_\_
- Complete Application  
based on provisional Application No. 60/125,446

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Respectfully submitted,



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Applicant or Patentee: Michael R. Van De Mark et al. Attorney's  
Serial or Patent No.: \_\_\_\_\_ Docket No.: UMO 1528  
Filed or Issued: \_\_\_\_\_  
For: WATER BORNE FILM-FORMING COMPOSITIONS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY**  
**STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION The Curators of the University of Missouri P3  
ADDRESS OF ORGANIZATION 501 Lewis Hall 316 University Hall  
Columbia, Missouri 65211

TYPE OF ORGANIZATION

University or other institution of higher education  
 Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c) (3))  
 Nonprofit scientific or educational organization qualified under a non-profit organization statute of a state of The United States of America (Name of state Missouri)  
(Citation of statute Section 172.020, RSMo)  
 Would qualify as tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c) (3) if located in The United States of America  
 Would qualify as nonprofit scientific or educational organization under a non-profit statute of a state of The United States of America if located in The United States of America  
(Name of state \_\_\_\_\_)  
(Citation of statute \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled WATER BORNE FILM-FORMING COMPOSITIONS by inventors Michael R. Van De Mark and Nantana Jiratumnukul described in

the specification filed herewith  
 application serial no. \_\_\_\_\_, filed \_\_\_\_\_  
 patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other

than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required for each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

INDIVIDUAL  SMALL BUSINESS CONCERN  NONPROFIT ORGANIZATION

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

INDIVIDUAL  SMALL BUSINESS CONCERN  NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Thomas R. Sharpe, Ph.D.

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SIGNATURE Thomas R. Sharpe DATE 17 March 2000

## WATER BORNE FILM-FORMING COMPOSITIONS

### FIELD OF THE INVENTION

This invention generally relates to water borne film-forming compositions containing a polyunsaturated ester as a coalescent aid.

### 5 BACKGROUND OF THE INVENTION

Aqueous dispersions of particulate polymer or emulsified liquid pre-polymers for use as paints, sealants, caulk, adhesives or other coatings are well-known, widely-used articles of commerce. The effectiveness of the dispersion in forming a film after the polymer dispersion has been deposited

10 upon a surface depends upon the glass transition temperature of the dispersed polymer and the temperature at which the film is allowed to dry. See, for example, Conn et al., U.S. Pat. No. 2,795,564 and Emmons et al., U.S. Patent No. 4,131,580.

15 Coalescent aids have been used in such aqueous dispersions to soften, i.e., plasticize, the particulate polymers and facilitate the formation of a continuous film with optimum film properties once the water has evaporated. In addition to increasing the ease of film formation, the coalescent aid also promotes subsequent improvements in film properties by coalescing the particulate polymers and liquid pre-polymers and forming an integral film at 20 ambient temperatures. Without the coalescent aid, the films may crack and fail to adhere to the substrate surface when dry.

25 Coalescent aids are particularly helpful in assisting the formation of particulate polymer films possessing a high glass transition temperature, that is, the temperature which defines how easily the particles of the polymer diffuse at the temperature at which the film-forming composition is applied. The presence of coalescent aids in a particulate polymer film having a high glass transition temperature allows optimum film formation at ambient temperatures.

30 Various alcohol esters and ether alcohols have been proposed for use as coalescent aids. For example, in U.S. Patent No. 4,131,580 Emmons et al. disclose water-based coating compositions based on vinyl addition

polymers of monoethylenically unsaturated monomers which comprise dicyclopentenyl acrylate and/or dicyclopentenyl methacrylate as a coalescent aid. In U.S. Patent No. 4,141,868, Emmons et al. suggest certain ester-ether compounds be used instead.

5 Two of the more widely used coalescent aids are ethylene glycol monobutyl ether (EB, Union Carbide) and 2,2,4-trimethyl-1,3 pentanediol monobutyrate (TEXANOL®, Eastman Kodak). While EB and TEXANOL® are useful in facilitating film formation of particulate polymer coatings with high glass transition temperatures and are even useful in facilitating film formation 10 of particulate polymer coatings with low glass transition temperatures if they are being applied at a temperature that is lower than ambient temperature, they are relatively volatile and, as a result, are currently classified as VOCs (volatile organic compounds).

#### SUMMARY OF THE INVENTION

15 Among the objects of the invention is a coalescent aid for use in a water-borne film forming composition wherein the coalescent aid is not classified as a volatile organic compound, but which, nevertheless, (i) exhibits favorable adhesion and gloss relative to water borne film-forming compositions containing conventional coalescent aids, (ii) exhibits favorable 20 minimum film formation temperature of low glass transition temperature films and high glass transition temperature films and (iii) allows optimum film formation at ambient temperatures.

Briefly, therefore, the present invention provides a film-forming composition comprising a continuous aqueous phase and a dispersed phase. 25 The dispersed phase comprises (i) a particulate polymer or emulsified liquid prepolymer, and (ii) a coalescent aid comprising an ester having the formula

RCOOX wherein R and X are independently hydrocarbyl or substituted hydrocarbyl and at least one of R and X comprises at least two unsaturated carbon-carbon bonds. Other objects of the invention will be in part apparent and in part pointed out hereinafter.

##### 5 DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

The water-borne film-forming compositions of the present invention generally contain a continuous aqueous phase and a dispersed film-forming phase. In general, they may be formulated to function as a paint, sealant, caulk, adhesive or other coating. Thus, these film-forming compositions may 10 have a wide range of viscosities, e.g., from about 50 to about 10,000 centipoise; paints, sealants and similar coatings typically have a viscosity from about 50 to about 10,000 centipoise, caulk typically have a viscosity from about 5,000 to about 50,000 centipoise, and adhesives typically have a viscosity from about 50 to about 50,000 centipoise. In addition, adhesives 15 are formulated for cohesive strength as well as good contact with the substrate upon which the film-forming composition is deposited.

The continuous aqueous phase generally comprises at least about 10 wt% water with the amount of water depending upon the application. For example, paints, sealants and similar coating compositions will generally have 20 at least about 10 wt% water and typically will contain about 20 wt% to about 80 wt% water with differing amounts being used for textured, high gloss, semi-gloss, flat, etc. coatings. Caulks will generally have at least about 10 wt% water and typically will contain about 10 wt% to about 25 wt% water with differing amounts being used for different caulk applications. Adhesives 25 will generally range from about 10 wt% to about 80 wt% water and typically will contain about 40 wt% to about 60 wt% water with differing amounts being used for different adhesive applications.

The continuous aqueous phase may optionally include one or more water-soluble organic solvents, i.e., substituted hydrocarbon solvents. For 30 example, modest amounts of ethylene glycol (e.g., 3-5 wt.%) or another glycol may be included for freeze-thaw protection. In general, however, the proportion of water-soluble organic solvents is preferably minimized; that is,

the continuous aqueous phase preferably contains less than about 20 wt.% organic solvent, more preferably less than about 10 wt.% organic solvent, and still more preferably less than about 5 wt.% organic solvent, based upon the weight of the continuous aqueous phase and exclusive of any amount which

5 may be present in a micelle or other dispersed phase or material.

The dispersed phase comprises a (i) particulate polymer or an emulsified liquid pre-polymer, (ii) a coalescent aid and, optionally, (iii) one or more additives. In general, the dispersed phase constitutes no more than about 90 wt% with the amount of dispersed phase depending upon the

10 application. For example, paints, sealants and similar coating compositions will generally have no more than about 90 wt% dispersed phase and typically will contain about 20 wt% to about 80 wt% dispersed phase with differing amounts being used for textured, high gloss, semi-gloss, flat, etc. coatings. Caulks will generally have no more than about 90 wt% dispersed phase and

15 typically will contain about 75 wt% to about 90 wt% dispersed phase with differing amounts being used for different caulk applications. Adhesives will generally range from about 20 wt% to about 90 wt% dispersed phase and typically will contain about 40 wt% to about 60 wt% dispersed phase with differing amounts being used for different adhesive applications.

20 In general, the particulate polymer or emulsified liquid pre-polymer is insoluble in the aqueous phase and is otherwise suitable for use in water borne film-forming compositions. Because the particulate polymer or emulsified liquid pre-polymer is the component which coalesces to form the desired film, the film-forming composition preferably comprises at least about

25 10 wt.%, more preferably at least about 15 wt.%, and depending for some applications at least about 20 wt.% of a coalescible particulate polymer or emulsified liquid pre-polymer.

Preferred particulate polymers are generally high molecular weight (e.g., greater than about 60,000 for latex), crosslinkable, polymer particles.

30 For example, they may be either of the addition type, in particular a polymer or copolymer of one or more  $\alpha,\beta$ -ethylenically unsaturated monomers, or of the condensation type, for example, a polyester or a polyamide. Suitable particulate polymers of the addition type include the polymerization and

copolymerization products of styrene, vinyl acetate, vinyl toluene, vinyl chloride, vinylidene chloride, butadiene, vinyl hydrocarbons, acrylonitrile, acrylates, and methacrylate containing monomers. Suitable condensation type particulate polymers include epoxy, urethane, hydrocarbon, silicone, 5 nitrocellulose, polyester, and alkyd polymers. Preferred particulate polymers include acrylate, methacrylate, styrene and vinyl acetate. Examples of preferred particulate polymers include the polymerizates or copolymerizates of one or more of the following: alkyl acrylates such as ethyl acrylate, butyl acrylate, 2-ethylhexyl acrylate, as well as other alkyl acrylates, alkyl 10 methacrylates, styrene and vinyl acetate.

In general, smaller particulate polymers are more readily coalesced than larger particulate polymers. Accordingly, preferred particulate polymers generally have a size of about 3 micrometers or less. For example, for latex resins, approximately 90 wt.% of the latex particles will have a size less than 15 about 0.2 micrometers.

Preferred emulsified liquid pre-polymers include alkyds, epoxies, nitrocellulose, and urethanes.

The coalescent aid of the present invention preferably comprises an ester having the formula

20  $\text{RCOOX}$

wherein

25 R is hydrocarbyl or substituted hydrocarbyl,  
X is hydrocarbyl or substituted hydrocarbyl, and  
at least one of R and X contains two or more aliphatic  
unsaturated carbon-carbon bonds (hereinafter "polyunsaturated").

30 Preferably, R contains about 1 to about 30 carbon atoms, more  
preferably about 9 to about 25 carbon atoms, and still more preferably about  
15 to about 23 carbon atoms, X contains about 1 to about 30 carbon atoms,  
more preferably about 1 to about 18 carbon atoms, and still more preferably  
about 1 to about 6 atoms, and R and X in combination contain no more than  
about 35 carbon atoms, and more preferably, R and X, in combination,  
contain no more than about 30 carbon atoms. In addition, at least one of R

and X preferably contains a conjugated double or triple carbon-carbon bond (i.e., two or more carbon-carbon double or triple bonds which alternate with carbon-carbon single bonds). For example, the unsaturation may take the form of two conjugated double bonds, a conjugated double bond and triple bond or two conjugated triple bonds.

While the carbon-carbon polyunsaturation may be provided in R or X, it is generally preferred that it be provided at the tail of the ester, i.e., in R. Thus, R is preferably hydrocarbyl or substituted hydrocarbyl possessing at least two aliphatic unsaturated carbon-carbon bonds, more preferably in 10 conjugation, with R preferably comprising about 5 to about 25 carbon, more preferably about 9 to about 25 carbon atoms, and still more preferably about 11 to about 23 carbon atoms. If R is substituted hydrocarbyl, it is preferably substituted with ketone, amide, ester, alcohol, urea, urethane, nitrile functionalities; silyl and amine functionalities are preferably avoided and 15 alcohols are preferably avoided if the number of carbon atoms is less than about 10.

Optionally, the head of the ester, i.e., X, may be polyunsaturated instead of the tail of the ester. In this instance, X is preferably hydrocarbyl or substituted hydrocarbyl possessing at least two aliphatic unsaturated carbon-20 carbon bonds, more preferably in conjugation with X preferably comprising about 5 to about 30 carbon, more preferably about 5 to about 25 carbon atoms, and still more preferably about 5 to about 24 carbon atoms.

If R is polyunsaturated, X may optionally contain one or more degrees of carbon-carbon unsaturation. Stated another way, X may be hydrocarbyl or 25 substituted hydrocarbyl optionally possessing one or more degrees of carbon-carbon unsaturation. As with R, X may optionally contain at least 2 degrees of carbon-carbon unsaturation with the 2 degrees of carbon-carbon unsaturation optionally being in conjugation. In one embodiment of the present invention, for example, X is X'-OH wherein X' is a hydrocarbyl or 30 substituted hydrocarbyl radical comprising about 1 to about 8 carbon atoms. Preferably, X' comprises about 2 to about 6 carbon atoms and, in one embodiment X' possesses at least one degree of unsaturation. If X or X' is substituted hydrocarbyl, it is preferably substituted with ketone, amide, ester,

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alcohol, urea, urethane, nitrile functionalities; silyl and amine functionalities are preferably avoided.

The polyunsaturated ester of the present invention is preferably sufficiently involatile to avoid categorization as a Volatile Organic Compound by the United States Environmental Protection Agency. In one embodiment of the present invention, the coalescent aid is a single ester. In another embodiment of the present invention, the coalescent aid comprises a mixture of esters with at least one of the esters being a polyunsaturate. In a third embodiment, the coalescent aid comprises a polyunsaturated ester with a conventional coalescent aid such as ethylene glycol monobutyl ether (EB, Union Carbide) or 2,2,4-trimethyl-1,3 pentanediol monobutyrate (TEXANOL®, Eastman Kodak). Where composition(s) other than polyunsaturated esters are also used as a coalescent aid, it is generally preferred that the polyunsaturated ester comprise at least about 5 wt.%, more preferably at least about 10 wt.%, still more preferably at least about 25 wt.%, still more preferably at least about 50 wt.%, and still more preferably at least about 75 wt.%, based upon the total combined weights of the compositions used as coalescent aids.

The polyunsaturated ester of the present invention may be derived from a natural, genetically engineered or synthetic material such as an oil, fat, lecithin or petroleum product. In a preferred embodiment, the coalescent aid comprises a polyunsaturated ester derived from an oil of plant or animal origin (including oils obtained from genetically engineered species), such as canola, linseed, soybean, or another naturally occurring oil such as one identified in Table I. Examples of preferred polyunsaturated esters include methyl ester, ethylene glycol monoester, diethylene glycol monoester, propylene glycol monoester, and dipropylene glycol monoester derived from the fatty acids of these oils.

Table I

VEGETABLE OIL		AVERAGE FATTY ACID AS PERCENT OF TOTAL FATTY ACID									
Number of Carbon Atoms	*	6	10	12	14	16	18	18	18	16	18
Number of Double Bonds	0	0	0	0	0	0	1	2	3	1	1
Castor-----	85				1.0	2.0	2.0	5.0			**
Corn-----	124				13.0	4.0	29.0	54.0			3
Cottonseed-----	107				1.0	22.0	2.0	21.0	54.0		
Crambe-----	94				3.0	2.0	18.0	10.0	5.0		
Linseed-----	185				6.0	4.0	20.0	17.0	53.0		
Mustard-----	120				2.0		24.0	20.0	6.0		
Olive-----	80				8.0	2.0	82.0	8.0			
Oiticica (1)-----	150				7.0	6.0	5.0				
Peanut-----	90				7.0	6.0	60.0	22.0			
Rapeseed-----	101				2.0	2.0	16.0	16.0	8.0		
Rice Bran-----	102				17.0	1.0	47.0	35.0			
Safflower Oil-----	141				6.0	2.0	13.0	79.0			
Sardine, Pilchard-----	190				5.0	14.0	3.0	10.0	15.0	12.0	
Sesame-----	110				9.0	4.0	46.0	41.0			
Soybean-----	130				8.0	6.0	28.0	50.0	8.0		
Sunflower-----	139				6.0	2.0	26.0	66.0			
Tung (Regular) (2)-----	165				4.0	1.0	5.0	8.0			
Tung (African) (3)-----	160				4.0	1.0	9.0	15.0			
Walnut (English)-----	150				1.0	9.0	1.0	16.0	60.0	13.0	

(\*) Iodine Number; (\*\*) polyethenoic acids; (1) contains 82% linoleic acid; (2) Contains 82% eleostearic acid (3) Contains 71% eleostearic acid.

The fatty acid ester glycols may be prepared by transesterification reactions between various glycols and fatty acids from soybean and other oils of plant or animal origin in the presence of a catalyst. Suitable catalysts include bases such as lithium hydroxide, tin oxides, tin catalysts, and calcium oxide with the reaction temperature generally being about 100 to about 200 °C. In a preferred embodiment, the glycol used in the reaction is ethylene glycol, propylene glycol, diethylene glycol or dipropylene glycol with the reaction being carried out with about 6 moles of glycol per mole of soybean oil in the presence of a basic catalyst at a temperature of about 190°C under nitrogen atmosphere. After reaction, the excess glycol is extracted with water several times. The soy oil ester is extracted with ethyl ether and dried, for example, with magnesium sulfate. Then the ethyl ether is distilled off. The reaction equation is given below.



where R is unsaturated hydrocarbon chain having 17 carbons

R' is a group of the formula -C<sub>2</sub>H<sub>4</sub>- for ethylene glycol  
 -C<sub>3</sub>H<sub>6</sub>- for propylene glycol  
 -C<sub>2</sub>H<sub>4</sub>O-C<sub>2</sub>H<sub>4</sub>- for diethylene glycol  
 -C<sub>3</sub>H<sub>6</sub>O-C<sub>3</sub>H<sub>6</sub>- for dipropylene glycol

The amount of coalescent aid needed to assist in film formation depends on the viscosity of the film-forming composition, the temperature at which the composition is being applied, the glass transition temperature of the film-former, and the minimum film formation temperature of the film-former. In general, the amount of coalescent will be proportional to the amount and type of resin used with ratios in the range of about 0.1 wt % to about 50 wt %

(based upon the weight of the dry resin), typically in the 1 wt.% to about 4 wt.% range (based upon the weight of the dry resin).

Any coalescent aid which remains in the film will act as a plasticizer, keeping the glass transition temperature low unless it has polyunsaturation 5 which will allow it to be air oxidized and oligomerized which results in the coalescent aid becoming more of a resin and less of a plasticizer. Thus, the glass transition temperature is in part recovered. In general, the greater degree of unsaturation of the coalescent aid the more glass transition temperature recovery can be expected. Where a mixture of materials are 10 used as the coalescent aid, therefore, it is generally preferred that the polyunsaturated acid(s) comprise at least about 5 wt.%, more preferably at least about 25 wt.%, still more preferably at least about 40 wt.% and still more preferably at least about 50 wt.% of the coalescent aid.

Trace amounts of the polyunsaturated ester coalescent aid of the 15 present invention may be dissolved in the continuous aqueous phase; that is, preferably less than about 10 wt.%, more preferably less than 5 wt.%, still more preferably less than 1 wt.%, and for some embodiments still more preferably less than about 0.5 wt.% of the polyunsaturated ester is dissolved in the continuous aqueous phase, based upon the weight of the continuous 20 aqueous phase. The predominant proportion of the polyunsaturated ester coalescent aid is thus preferably dissolved in the dispersed particulate polymer or liquid pre-polymer. Preferably at least 80 wt.%, more preferably at least 90 wt.%, more preferably at least 95 wt.%, and still more preferably at least 99 wt.% of the polyunsaturated ester coalescent aid is dissolved in the 25 dispersed particulate polymer or liquid pre-polymer. Depending upon the type and amount of surfactants included in the film-forming composition, a relatively small fraction of the polyunsaturated ester coalescent aid may additionally be emulsified in the continuous aqueous phase and found in micelles along with surfactant.

30 The film-forming composition of the present invention may also contain various conventional additives which may be in the dispersed and/or continuous phases. Such additives include thickening agents such as

carboxymethylcellulose sold by Aquilon under the trade designation Natrasol 250 and thickeners sold under the trade designation M-P-A 1075 by Rheox, pH modifiers such as ammonium hydroxide and N,N-dimethyl ethanolamine, defoaming agents such as mineral oil or silicone oils, wetting agents such as 5 a nonionic surfactant sold by AKZO under the trade designation Interwet 43 and a nonionic surfactant sold by Rohm & Haas under the trade designation Triton X100, algicides such as organotin compounds and tetrachloroisophthalonitrile, fungicides such as tributyl tin oxide, and 3-iodo-2-10 proynyl butyl carbamate, dispersants such as lecithin and an anionic dispersant sold under the trade designation Busperse 39 by Buckman, ultraviolet inhibitors such as a benztriazol UV inhibitor sold under the trade designation Tinuvin 328 by Ciba-Geigy and a hindered amine UV inhibitor sold under the trade designation by Tinuvin 123 by Ciba-Geigy, flow and leveling agents such as a polyacrylate sold under the trade designation Byk 15 354 by Byk-Chemie and a polysiloxane copolymer sold under the trade designation Byk 310 by Byk-Chemie, flash rust inhibitors such as an inhibitor sold under the trade designation Raybo 63 by Raybo or a barium metaborate rust inhibitor sold under the trade designation Busan 11M1 by Buckman, and freeze/thaw inhibitors such as ethylene glycol. Additional additives include 20 driers such as cobalt driers carboxylate salts (0.0 to 0.15 wt.% Co based on the coalescent aid) and manganese driers carboxylate salts (0.0 to 0.15 wt.% based on the coalescent aid), accelerators such as 1,10-phenanthroline (0 to 0.2% based on the coalescent aid) and 2,2-bipyridine (0 to 0.2% based on the coalescent aid), and anti-skinning agents such as butanone oxime (0 – 1 25 lb/100 gal formulation). When present and depending upon the application for the film-forming composition, these additives will generally not constitute more than about 10 wt.% of the film-forming composition and will typically constitute about 3 wt.% to about 10 wt.% of the film-forming composition.

The film-forming composition is formed by conventional methods used to prepare paints, adhesives, except that the polyunsaturated ester of the present invention is substituted, at least in part, for a conventional coalescent aid. The resulting film-forming composition can easily be applied

conventionally using a brush, roller, or like means and requires no unusual methods of drying to form the desired film. Thus, films formed from the composition of the present invention may be dried under ambient conditions. Furthermore, the film-forming composition may be applied to a variety of

5 materials.

### Definitions

As used herein, the term "hydrocarbyl" shall mean a radical consisting exclusively of carbon and hydrogen. The hydrocarbyl may be branched or unbranched, saturated or unsaturated. Suitable hydrocarbyl moieties include

10 alkyl, alkenyl, alkynyl, and aryl moieties. They also include alkyl, alkenyl, alkynyl, and aryl moieties substituted with other saturated or unsaturated hydrocarbyl moieties such as alkaryl, alkenaryl and alkynaryl. Preferably, the hydrocarbyl does not include an aryl moiety and except as otherwise indicated herein, the hydrocarbyl moieties preferably comprises up to about

15 25 carbon atoms.

The aryl moieties described herein contain from 6 to 20 carbon atoms and include phenyl. They may be hydrocarbyl substituted with the various substituents defined herein. Phenyl is the more preferred aryl.

The term "substituted hydrocarbyl" shall mean a hydrocarbyl radical wherein at least one hydrogen atom has been substituted with an atom other than hydrogen or carbon, including moieties in which a carbon chain atom is substituted with a hetero atom such as nitrogen, oxygen, silicon, phosphorous, boron, sulfur, or a halogen atom. These substituents include hydroxy; lower alkoxy such as methoxy, ethoxy, butoxy; halogen such as

20 chloro or fluoro; ethers; esters; heteroaryl such as furyl or thieryl; alkanoxy; acyl; acyloxy; nitro; amino; and amido. In general, however, amines and silyl

25 radicals are preferably excluded.

The acyl moieties and the acyloxy moieties described herein contain hydrocarbyl, substituted hydrocarbyl or heteroaryl moieties. In general, they

30 have the formulas -C(O)G and -OC(O)G, respectively, wherein G is

substituted or unsubstituted hydrocarbyl, hydrocarbyloxy, hydrocarbylamino, hydrocarbylthio or heteroaryl.

This invention will be further illustrated by the following Examples although it will be understood that these Examples are included merely for 5 purposes of illustration and are not intended to limit the scope of the invention.

## EXAMPLES

### TEST PROCEDURES

The following test procedures were used to generate the data reported 10 in the examples below:

#### *Minimum Film Formation Temperature Measurement*

The method used for measuring MFFT followed ASTM Method D2354-68. Minimum film formation temperatures for ten different coalescent aid formulated latexes were measured. Four replicate measurements were 15 performed for the same latex and were then averaged.

#### *Blocking Resistance Testing*

The procedure employed to evaluate block resistance followed ASTM Method D4946-89. A 6 mil thick film of latex was drawn down on a Leneta chart and dried for 7 days at room temperature. The dried films were cut into 20 squares ~ 1.5x1.5 inch<sup>2</sup> and the squares were placed together with face to face contacted each other. The face-to-face specimens were placed in a 35°C oven on the flat aluminum tray. A 1000 kg weight on a No.8 stopper were placed on the specimens to yield a pressure of about 1.8 psi (127 g/cm<sup>2</sup>). After exactly 30 min, the stopper and weight were removed. The 25 sample was allowed to cool for 30 min at room temperature before determining the block resistance according to the following scale:

10	.....no tack
9	.....trace tack
8	.....very slight tack
7	.....very slight to slight tack
5	.....slight tack
5	.....moderate tack
4	.....very tacky, no seal
3	.....5-25% seal
2	.....25-50% seal
10	.....50-75% seal
10	.....75-100% seal
0	.....75-100% seal

*Adhesion testing*

The method used to for determining adhesion followed ASTM Method D3359-92a. A 6 mil wet film thickness of latex was drawn down on an 15 aluminum panel and dried for 7 days at room temperature. After drying, an area was selected that was free of blemishes and minor surface imperfections. Eleven cuts in each direction, orthogonal, were made through the film to the substrate in one steady motion using sufficient pressure on the cutting tool to have the cutting edge reach the substrate. Make all cuts about 20  $\frac{3}{4}$  inch (20 mm). Place the center of the tape over the grid and in the area of the grid smooth into place by a finger. To ensure good contact with the film, rub the tape firmly with the eraser. The opacity change of the tape was a useful indication of when good contact has been made. Within 90 sec of application, remove the tape by seizing the free end and rapidly pull back 25 upon itself at an angle of approximately 180°. Inspect the grid area for removal of coating from the substrate. Rate the adhesion in accordance with the following scale:

5B The edges of the cuts are completely smooth; none of the squares of the lattice is detached.

30 4B Small flakes of the coating are detached at intersections; less than 5% of the area is affected.

3B Small flakes of the coating are detached along edges and at intersections of cuts. The area affected is 5-15% of the lattice.

2B The coating has flaked along the edges and on parts of the squares.

The area affected is 15-35% of the lattice.

1B The coating has flaked along the edges of cuts in large ribbon and whole squares have detached. The area affected is 35-65% of the lattice.

5 0B Flaking and detachment worse than grade 1B

*Freeze-Thaw and Thermal Stability*

Three, 500 grams cans of paint had been prepared for each system being investigated. One was for freeze-thaw stability test, one for thermal stability test and the other one for control. The control samples were stored

10 at room temperature.

For thermal stability testing, paint cans were put in oven at 50 °C for 17 hours, then was taken out to cool at room temperature for 7 hours. This is a cycles of testing. Repeat testing for at least 5 cycles and observed a physical appearance of paints in cans. Gloss and hiding power were measured and

15 compared with those from control.

For freeze-thaw stability testing, one cycle composes of 17 hours of freezing in a refrigerator at -8°C and 7 hours of thawing at room temperature. At least 5 cycles had been taken. The physical appearance of paints were observed. Gloss and hiding power were measured and compared with those

20 from control.

*Gloss and Hiding power*

Each paint formulation was drawn down onto a Lenetta chart with film thickness of 3 mils, and let dry at room temperature for two days before gloss(@60°) and hiding power measurement would be taken by glossmeter

25 and color computer, respectively.

*Scrub Resistance Testing*

Each paint formulation was drawn down onto a plastic panel with 6 mil draw down bar and let dry at room temperature for 7 days before testing. The testing including scrub media preparation was by the method described in

30 ASTM D 2486-89.

*Pencil Hardness Testing*

The method used to for determining hardness followed ASTM Method D3363-92a. A 6 mil thickness film of latex was drawn down on an aluminum panel and dried for 7 days at room temperature. After drying, an area was selected that was free of blemishes and minor surface imperfections. The 5 pencils was prepared by polishing the tip of the pencil in circular motion to get a sharp edge. The panel was placed on a firm horizontal surface. The pencil was held firmly against the film at a 45° angle (point away from operator) and pushed away from the operator in a 1/4 in stroke. The pencil number that does not cut into or gauge the paint film was reported.

10 *Evaporation Rate*

Three samples of each coalescent aid was weighed into aluminum pans. All test samples were kept at room temperature. The percentage of weight loss of each coalescent aid was measured as a function of time.

15 *Surface Tension*

Surface tension was determined by the ring method tensiometer according to ASTM D 1331-89.

*Hydrophilic Lipophilic Balance*

Hydrophilic lipophilic balance (HLB) values were calculated from equation 1 based on ethylene oxide moiety in the molecule

20

Equation 1

$$\text{HLB} = \frac{\% \text{ wt. Of ethylene oxide in the molecule}}{5}$$

*Solubility Parameters*

25 Solubility parameter values were calculated according to the Hansen Method from the Handbook of Solubility Parameters.

*Density*

Density was determined according to ASTM D-1475.

*C-13 NMR Spectra*

30 C-13 NMR spectra were determined without solvent added at room temperature in 5-mm inner-diameter tubes.

*H-1 NMR Spectra*

H-1 NMR spectra were operated with neat liquid reaction products.

**EXAMPLE 1**

Coalescent efficiency using a low Tg latex polymer with various soybean oil

5 esters.

Master batch formulation for MFFT testing of vinyl acetate latex, FLEXBOND 325, and vinyl acrylic latex, UCAR 379G is given in the Table below

Formulation for studying MFFT for low Tg latex polymers					
	formulation		solid content		
	lb.	gal	lb.	gal	
10	H2O	286.35	34.38	0.00	0.00
	PG	43.20	4.99	0.00	0.00
	X-102	1.98	0.22	1.98	0.22
	RM825	1.82	0.21	0.46	0.05
	WET260	0.87	0.10	0.87	0.10
15	AMP95	1.98	0.25	0.00	0.00
	low Tg resins	430.22	47.54	236.62	24.44
	DREWPLUS 493	2.38	0.32	0.36	0.13
	H2O	99.88	11.99	0.00	0.00
20	Total	868.69	100.00	240.29	24.94
	wt/gal	8.69			
	%sol/wt	27.66			
	%sol/vol.	24.94			

Note: In the batch formulations

PG = propylene glycol

X-102 = Triton X-102 : surfactant (Union Carbide)

RM = Acrysol RM 825 : associative thickener (Rohm & Haas)

WET260 : wetting agent (Tego Chemical)

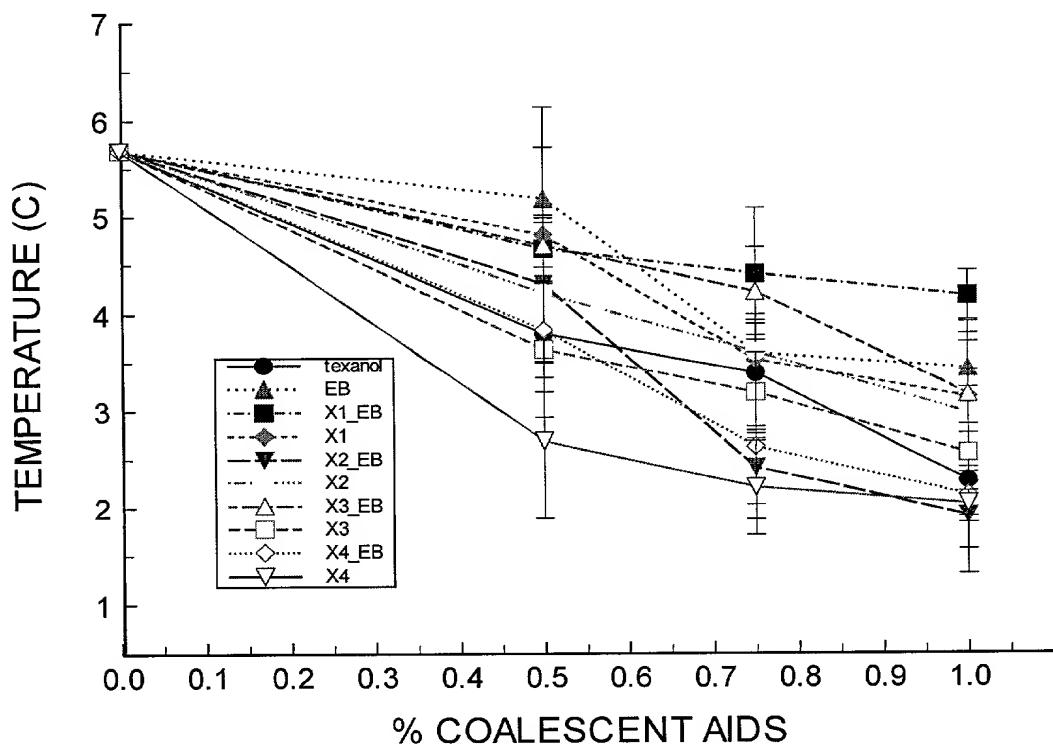
AMP 95 : pH modifier (Angus)

Drewplus L-493 : defoamer (Drew Chemical)

25

To 50 grams portion of master batch was added the coalescent aids at the following levels: 0.25 g (0.5%); 0.375 g (0.75%); 0.5 g (1.0%). The samples were equilibrated for 48 hours prior to determination of the minimum film formation temperature using a MFFT BAR-90 (Rhopoint Instrumentation Ltd, 5 England).

**MFFT (C) PLOT FOR FLEXBOND 325 AS A FUNCTION OF % COALESCENT AIDS**



X1= Ethylene glycol soy oil ester

X2= Propylene glycol soy oil ester

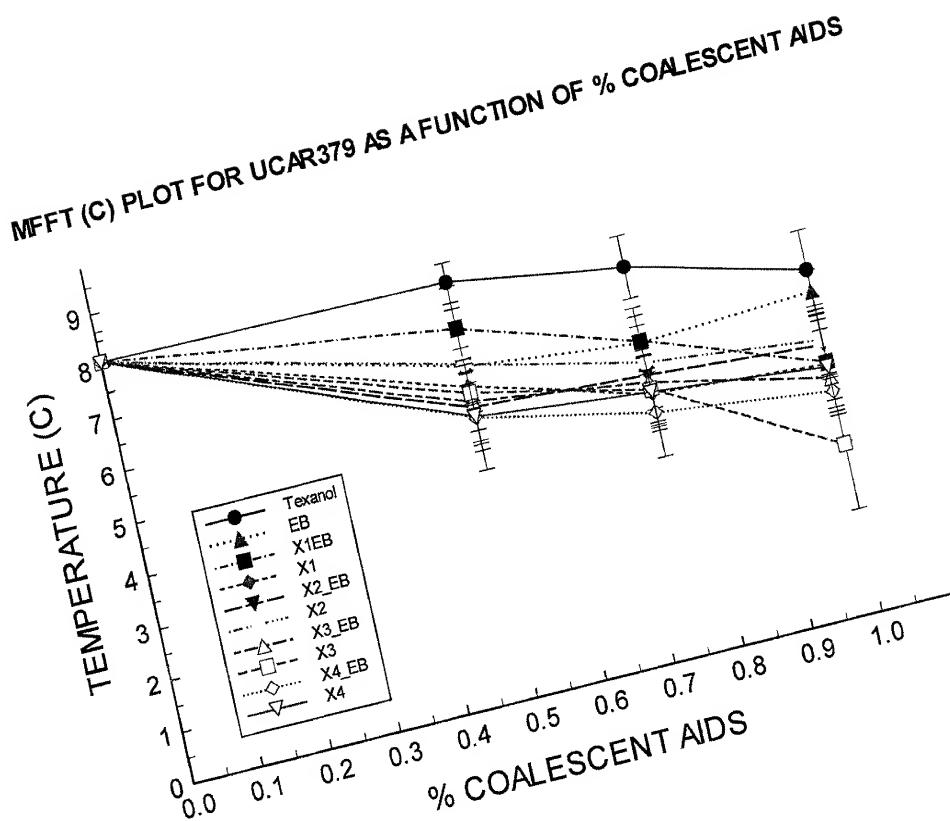
X3= Diethylene glycol soy oil ester

10 X4= Dipropylene glycol soy oil ester

EB= Ethylene glycol monobutyl ether

X\_EB= derivatives and EB mixture 50:50

15 All new soy oil glycol ester coalescent aids of this invention show a potential in lowering the minimum film formation temperature of latex polymer, FLEXBOND 325 similar to commercial coalescent aids TEXANOL® and EB.



X1= Ethylene glycol soy oil ester  
X2= Propylene glycol soy oil ester  
X3= Diethylene glycol soy oil ester  
X4= Dipropylene glycol soy oil ester

EB= Ethylene glycol monobutyl ether  
X\_EB= derivatives and EB mixture 50:50

5 All new soy oil glycol ester coalescent aids of this invention show a  
10 capability in lowering the minimum film formation temperature of latex  
polymer, UCAR 379G, better than the commercial coalescent aid TEXANOL®,  
and also give a similar trend to the commercial coalescent aid EB.

**EXAMPLE 2**

Coalescent efficiency using a high Tg latex polymer with various soybean oil glycol esters.

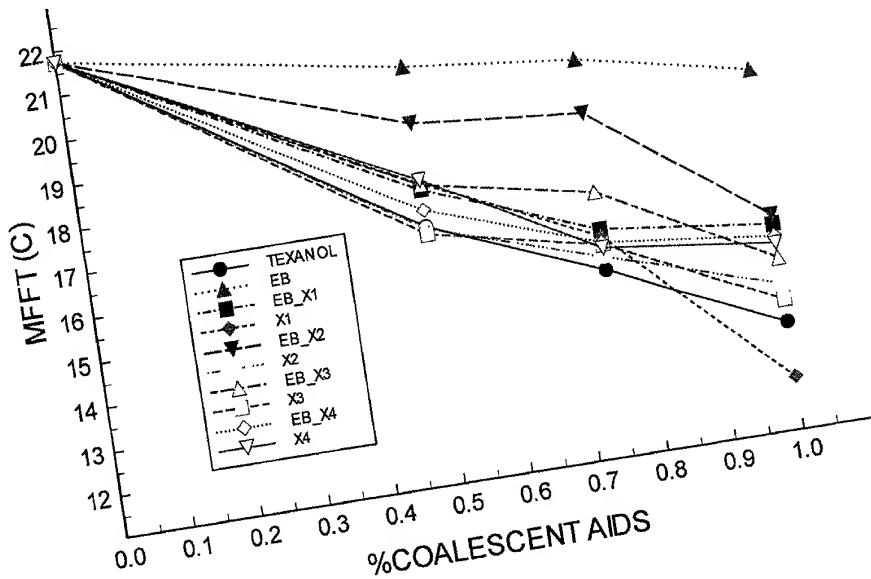
Master batch formulation for MFFT testing of high Tg acrylic latex,  
5 ACRONAL A846, is given in the Table below.

Formulation for studying MFFT for ACRONAL A846				
	formulation		solid content	
	lb.	gal	lb.	Gal
	H2O	278.29	33.41	0.00
	PG	42.40	4.90	0.00
10	X-102	5.09	0.57	5.09
	RM825	3.85	0.44	0.96
	WET KI245	7.71	0.89	7.71
	AMP95	0.00	0.00	0.00
15	Acronal486	418.60	47.84	209.30
	DREWPLUS	2.16	0.29	0.32
	H2O	97.13	11.66	0.00
	Total	855.23	100.00	223.38
				24.50
		wt/gal	8.55	
		%sol/wt	26.12	
		%sol/vol.	24.50	

WET KI245 : wetting agent

To 50 grams portion of master batch was added the coalescent aids at  
20 the following levels: 0.25 g (0.5%); 0.375 g (0.75%); 0.5 g (1.0%). The  
samples were equilibrated for 48 hours prior to determination of the minimum  
film formation temperature using a MFFT BAR-90 (Rhopoint Instrumentation  
Ltd, England).

## MFFT(C) PLOT FOR ACRONAL A846 AS A FUNCTION OF COALESCENT AIDS



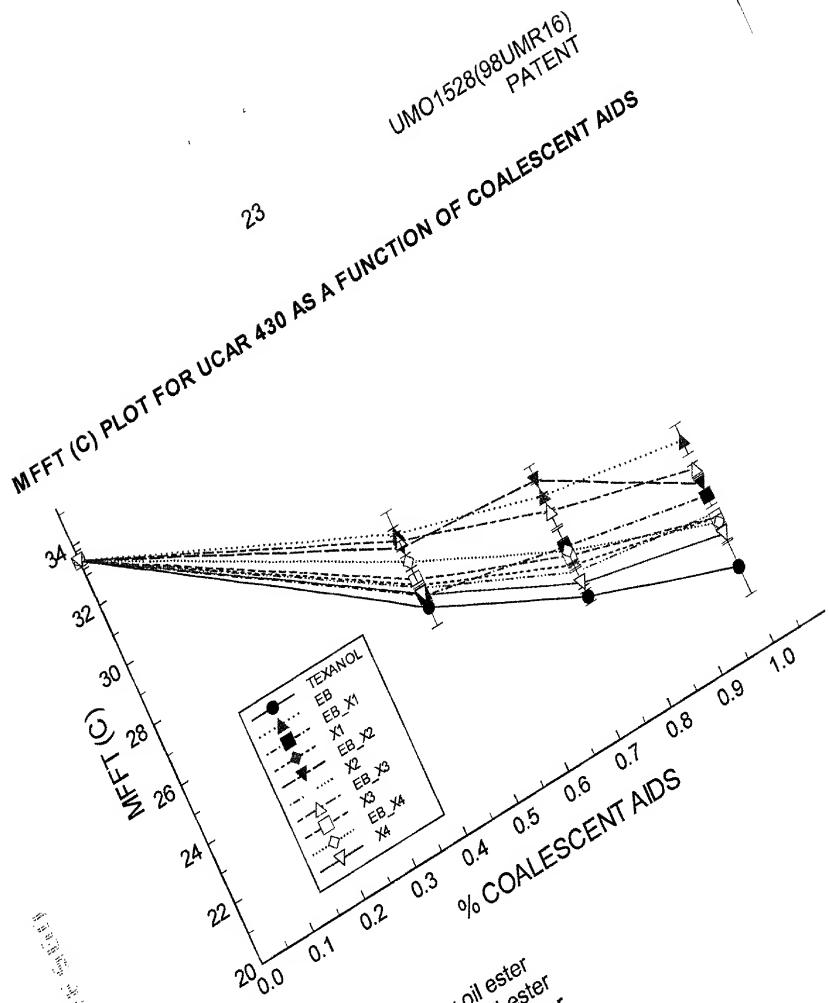
5 X1= Ethylene glycol soy oil ester  
 X2= Propylene glycol soy oil ester  
 X3= Diethylene glycol soy oil ester  
 X4= Dipropylene glycol soy oil ester  
 EB= Ethylene glycol monobutyl ether  
 X\_EB= derivatives and EB mixture 50:50

10 All new soy oil glycol ester coalescent aids of this invention show a capability in lowering the minimum film formation temperature of high Tg  
 acrylic latex polymer, ACRONAL A846, better than the commercial  
 coalescent aid EB, and also give a similar trend to the commercial coalescent  
 aid TEXANOL® at every level of coalescent aids added  
 15 Master batch formulation for MFFT testing of high Tg  
 polystyrene/polymethyl methacrylate latex, UCAR 430, is given in the Table  
 below.

Formulation for studying MFFT for UCAR 430

	formulation		solid content		
	lb.	gal	lb.	gal	
	H2O	288.56	34.64	0.00	0.00
5	PG	43.96	5.08	0.00	0.00
	X-102	5.28	0.59	5.28	0.59
	RM825	4.00	0.46	1.00	0.10
	WET kl245	7.99	0.92	7.99	0.92
	AMP95	0.00	0.00	0.00	0.00
	UCAR430	434.03	49.89	195.31	21.23
	DREWPLUS	2.24	0.30	0.34	0.12
10	H2O	67.62	8.12	0.00	0.00
	Total	853.68	100.00	209.92	22.97
		wt/gal	8.54		
		%sol/wt	24.59		
		%sol/vol.	22.97		

To 50 gram portion of master batch was added the coalescent aids at the following levels: 0.25 g (0.5%); 0.375 g (0.75%); 0.5 g (1.0%). The samples were equilibrated for 48 hours prior to determination of the minimum 15 film formation temperature using a MFFT BAR-90 (Rhopoint Instrumentation Ltd, England).



5      X1= Ethylene glycol soy oil ester  
 X2= Propylene glycol soy oil ester  
 X3= Diethylene glycol soy oil ester  
 X4= Dipropylene glycol soy oil ester  
 EB= Ethylene glycol monobutyl ether  
 X\_EB= derivatives and EB mixture 50:50

10      All new soy oil glycol ester coalescent aids of this invention show a  
 capability in lowering the minimum film formation temperature of high Tg  
 PS/PMMA latex polymer, UCAR 430, better than the commercial coalescent  
 aid EB, and also give a similar trend to the commercial coalescent aid  
 TEXANOL® at every level of coalescent aids added

**EXAMPLE 3**

Physical properties of paint formulations with a low Tg latex polymer with ethylene glycol soybean oil esters and TEXANOL®.

Semigloss and flat paint formulations of low Tg , vinyl acetate latex,  
 5 FLEXBOND 325, have been prepared for physical testing. The formulations with TEXANOL® are given in the Table below

<b>GLOSS PAINT/ FLEXBOND325/ TEXANOL</b>		
	formulation	
	lb.	gal
	H2O	50.58
	PG	58.28
10	X-102	2.01
	RM825	15.70
	TAMOL850	8.29
	WET260	4.51
	AMP95	3.62
15		
	TP-900	224.91
	ATOMITE	73.46
	FXBD325	582.93
	TEXANOL	18.92
20	DREWPLUS	1.91
	H2O	55.19
	Total	1100.30
		100.00
	wt/gal	11.00
	%sol/wt	57.46
	%sol/vol.	44.39
	%PVC	22.55

TP-900 : Titanium

ATOMITE : Calcium Carbonate

<b>FLAT PAINT/ FLEXBOND325/ TEXANOL</b>		
	formulation	
	lb.	gal
	H2O	141.83
5	PG	43.31
	X-102	2.17
	RM825	20.77
	TAMOL850	18.08
	WET260	4.85
	AMP95	2.17
10	TP-900	241.98
	ATOMITE	194.88
	FXBD325	433.07
15	TEXANOL	14.07
	DREWPLUS	2.06
	H2O	59.37
	Total	1178.61
		100.00
	wt/gal	11.79
	%sol/wt	58.80
	%sol/vol.	42.22
	%PVC	37.66

FXBD 325 = Flexbond 325

The formulations with ethylene glycol derivative soybean oil glycol esters are given in the Table below

**GLOSS PAINT/ FLEXBOND325/ SYNTHETIC  
COALESCENT AID**

	formulation (by weight)	formulation (by volume)	
	lb.	gal	
5	H2O	77.67	9.32
	PG	56.05	6.48
	X-102	1.84	0.20
	RM825	17.42	2.00
	TAMOL850	7.97	0.81
	WET260	4.34	0.50
	AMP95	4.24	0.54
10			
	TP-900	216.28	6.49
	ATOMITE	70.64	3.13
	FXBD325	560.56	61.60
	EG-DERIV(X1)	18.19	2.30
15	DREWPLUS	1.84	0.25
	H2O	53.07	6.37
	Total	1090.09	100.00
	wt/gal	10.90	
	%sol/wt	55.81	
	%sol/vol.	42.73	
	%PVC	22.52	

EG-DERIV(X1) = Ethylene glycol soy oil ester

FLAT PAINT/ FLEXBOND325/ SYNTHETIC COALESCENT AID			
	formulation (by weight)	formulation (by volume)	
	lb.	gal	
	H2O	142.58	17.12
5	PG	43.53	5.03
	X-102	2.18	0.24
	RM825	15.96	1.83
	TAMOL850	18.18	1.84
	WET260	4.88	0.56
10	AMP95	2.18	0.28
10	TP-900	243.25	7.30
	ATOMITE	195.91	8.68
15	FXBD325	435.34	47.84
	EG-DERI (X1)	14.15	1.79
	DREWPLUS	2.37	0.32
	H2O	59.69	7.17
	Total	1180.18	100.00
	wt/gal		11.80
	%sol/wt		58.93
	%sol/vol.		42.33
	%PVC		37.76

20 Semigloss and flat paint formulations of low Tg vinyl acrylic latex, UCAR 379G, have been prepared for physical testing. The formulations with TEXANOL® are given in the Table below

GLOSS PAINT/ UCAR379G/ TEXANOL			
	formulation (by weight)	formulation (by volume)	
	lb.	Gal	
	H2O	37.19	4.47
	PG	72.80	8.42
5	X-102	2.01	0.22
	RM825	17.08	1.96
	TAMOL850	7.89	0.80
	WET260	4.53	0.52
	AMP95	1.41	0.18
		0.00	
10	TP-900	226.02	6.79
	ATOMITE	74.15	3.29
		0.00	
	UCAR379	587.51	64.92
	TEXANOL	33.45	4.23
15	DREWPLUS	1.93	0.26
	H2O	32.88	3.95
	Total	1098.86	100.00
	wt/gal		10.99
	%sol/wt		57.95
	%sol/vol.		44.91
	%PVC		22.43

FLAT PAINT/ UCAR379G/ TEXANOL			
	formulation (by weight)	formulation (by volume)	
	lb.	Gal	
5	H2O	132.28	15.88
	PG	54.86	6.34
	X-102	2.21	0.25
	RM825	17.19	1.98
	TAMOL850	18.47	1.87
	WET260	4.98	0.58
	AMP95	1.11	0.14
		0.00	
10	TP-900	248.28	7.46
	ATOMITE	199.08	8.82
		0.00	
	UCAR379	442.41	48.89
	TEXANOL	25.22	3.19
	DREWPLUS	2.12	0.28
15	H2O	36.12	4.34
	Total	1184.33	100.00
	wt/gal	11.84	
	%sol/wt	59.78	
	%sol/vol.	43.19	
	%PVC	37.68	

The formulations with ethylene glycol soybean oil esters are given in the Table below

<b>GLOSS PAINT/ UCAR379G/ SYNTHETIC COALESCENT AID</b>		
	formulation (by weight)	formulation (by volume)
	lb.	gal
H2O	82.21	9.87
PG	68.37	7.90
X-102	1.89	0.21
RM825	18.91	2.17
TAMOL850	7.94	0.80
WET260	4.48	0.52
AMP95	1.32	0.17
	0.00	
TP-900	212.27	6.37
ATOMITE	69.63	3.09
	0.00	
UCAR379	551.76	60.97
EG DERIV (X1)	31.41	3.98
DREWPLUS	1.82	0.24
H2O	30.88	3.71
Total	1082.90	100.00
	wt/gal	10.83
	%sol/wt	55.33
	%sol/vol.	42.29
	%PVC	22.37

<b>FLAT PAINT/ UCAR379G/ SYNTHETIC COALESCENT AID</b>			
	Formulation (by weight)	formulation (by volume)	
	Lb.	gal	
	H2O	133.08	15.98
5	PG	55.19	6.38
	X-102	2.23	0.25
	RM825	11.57	1.33
	TAMOL850	19.14	1.93
10	WET260	5.01	0.58
	AMP95	1.11	0.14
		0.00	
	TP-900	249.77	7.50
	ATOMITE	200.28	8.87
		0.00	
15	UCAR379	445.07	49.18
	EG DERI (X1)	25.37	3.21
	DREWPLUS	2.14	0.29
	H2O	36.34	4.36
	Total	1186.29	100.00
		Wt/gal	11.86
		%sol/wt	59.94
		%sol/vol.	43.32
		%PVC	37.80

## RESULTS

The physical property testing results are shown in Table below.

### *FREEZE-THAW STABILITY AND THERMAL STABILITY TESTING*

		Viscosity cps	Hiding power	gloss @ 60°	physical appearance
5	<b>gloss/ ucar/ texanol</b>				
	Control	1785	94.4	20.7/17	no settling
	Oven	1985	94.0	17.7/14.3	no settling
10	Freezer	1775	94.8	20.5/17.4	no settling
	<b>gloss/ flexbond/texanol</b>				
	Control	1735	95.2	26.7/24.2	no settling
15	Oven	1715	94.4	25.3/21.4	no settling
	Freezer	1570	95.4	27.8/24.2	no settling
	<b>flat/ ucar/ texanol</b>		hiding power	gloss @ 60°	physical appearance
20	Control	1345	95.8	3.6/3.4	no settling
	oven	1375	94.9	3.4/3.3	no settling
	freezer	1260	95.0	3.5/3.3	no settling
25	<b>flat/ flexbond/ texanol</b>				
	control	1965	94.2	4.5/4.9	no settling
	oven	1885	93.8	4.2/4.6	no settling
	freezer	1505	94.3	4.6/4.8	no settling
	<b>gloss/ ucar/synthetic coalescent aid</b>				
	Control	2005	93.9	21.0/17.7	no settling
	oven	1610	92.7	18.8/16.4	no settling
	freezer	2235	93.7	21.1/18.4	no settling

**FREEZE-THAW STABILITY AND THERMAL STABILITY TESTING**  
**cont.**

5	<b>gloss/ flexbond/ synthetic coalescent aid</b>				
	control	1170	95.3	26.8/23.6	no settling
	oven	1170	94.4	25.3/20.7	no settling
10	freezer	1120	95.1	26.8/22.6	no settling
	<b>flat/ ucar/ synthetic coalescent aid</b>				
	control	1985	94.9	5.1/4.3	no settling
15	oven	2135	94.1	4.7/4.0	no settling
	freezer	1870	93.9	4.8/4.2	no settling
	<b>flat/ flexbond/synthetic coalescent aid</b>				
20	control	1580	94.2	5.4/5.2	no settling
	oven	1540	93.8	4.7/4.8	no settling
	freezer	1390	94.7	5.4/5.3	no settling

20                   The incorporation of ethylene glycol soy oil ester as a coalescent aid in paint formulations with low Tg latex polymers exhibited thermal stability and freeze-thaw stability similar to commercial coalescent aid, TEXANOL® (Eastman Kodak). There was no settling in all paint formulations. The gloss and hiding power were stable in all paint formulation 25 after freeze-thaw and heat-cool for at least 5 cycles.

**SCRUB RESISTANCE TESTING RESULTS**

30		Scrub resistant(cycles)
	gloss/ ucar/texanol	>3000
	gloss/ flexbond/texanol	>3000
	flat/ ucar/ texanol	>3000
	flat/ flexbond/ texanol	>3000
	gloss/ ucar/synthetic coalescent aid	>3000
	gloss/ flexbond/ synthetic coalescent aid	>3000
	flat/ ucar/ synthetic coalescent aid	>3000
	flat/ flexbond/synthetic coalescent aid	>3000

The scrub resistance of paint formulations formulated with ethylene glycol soy oil ester as a coalescent aid showed an excellent scrub resistance similar to paint formulations with commercial coalescent aid, TEXANOL® (Eastman Kodak). Both of low Tg latex polymers used in this invention gave 5 the same result in scrub resistance.

#### BLOCKING RESISTANCE TESTING RESULTS

		Blocking resistant rating	Performance
10	SEMIGLOSS		
	Flexbond325+texanol	2.0	25-50%seal
	Flexbond325+Methyl Ester	3.0-4.0	Poor-fair
	Flexbond325+EG-derivative	6.0-7.0	good-very good
	Ucar379g + texanol	3.0-4.0	poor-fair
	Ucar379g + Methyl Ester	3.0	Poor
15	Ucar379g + EG-derivative	5.0	Fair
	FLAT		good-very good
	Flexbond325+texanol	7.0	
	Flexbond325 + Methyl Ester	5.0-6.0	Fair-good
	Flexbond325+EG-derivative	6.0	Good
	Ucar379g + texanol	7.0-8.0	good-very good
20	Ucar379g + Methyl Ester	6.0-7.0	Good
	Ucar379g + EG-derivative	4.0-5.0	Fair

Semigloss paint formulation with ethylene glycol soy oil ester as a coalescent aid showed better blocking resistance than paint formulation with comparative coalescent aid, TEXANOL® (Eastman Kodak). Flat paint formulation with ethylene glycol soy oil ester as a coalescent aid showed 25 poorer blocking resistance than paint formulation with comparative coalescent aid, TEXANOL® (Eastman Kodak). Both low Tg latex polymers used in this invention provided the same trend of blocking resistance performance.

## PENCIL HARDNESS TEST RESULTS

		Hardness rating
5	GLOSS	
	Flexbond325+texanol	5B
	Flexbond325+ X1	5B-6B
	ucar379g + texanol	6B
10	ucar379g + X1	OVER 6B
	FLAT	
	Flexbond325+texanol	4B
	Flexbond325+ X1	4B-5B
15	ucar379g + texanol	5B-6B
	ucar379g + X1	6B

Hardness of film from paint formulation with ethylene glycol soy oil ester as a coalescent aid was lower in hardness than the film from paint formulated with the commercial coalescent aid, TEXANOL® (Eastman Kodak). Both of low Tg latex polymers used in this invention provided less hardness with the new coalescent aid.

## ADHESION TEST RESULTS

		Surface of cross-cut area from which flaking has occurred (on scratched panel)	Surface of cross-cut area from which flaking has occurred (with epoxy primer)
20	GLOSS		
	Flexbond325+texanol	>65%	>65%
	Flexbond325 + me-ester	>65%	>65%
	Flexbond325+ X1	>65%	>65%
25	ucar379g + texanol	>65%	>65%
	Ucar379g+Me-ester	>65%	>65%
	ucar379g + X1	>65%	>65%
	FLAT		
30	Flexbond325+texanol	>65%	>65%
	Flexbond325+me-ester	>65%	>65%
	Flexbond325+ X1	>65%	>65%
	ucar379g + texanol	>65%	>65%
	Ucar379g + Me-ester	>65%	>65%
	ucar379g + X1	>65%	>65%

The semigloss and flat paint formulation, with both low Tg latex polymers and ethylene glycol soy oil ester as a coalescent aid, exhibited poor performance in adhesion of paint film both on scratched aluminum panel and on epoxy-primed aluminum panel. The same poor performance occurred with 5 commercial coalescent aid, TEXANOL® (Eastman Kodak).

#### EXAMPLE 4

Physical properties of paint formulations with a high Tg latex polymer with ethylene glycol soybean oil esters and TEXANOL®. Only the ethylene glycol soy oil ester derivative has been incorporated into a paint formulation for 10 physical testing relative to the commercial coalescent aids, Texanol® (a commercial coalescent aid), and EB.

Semigloss paint formulation of high Tg acrylic latex, ACRONAL A846, has been prepared for physical testing. The formulations with TEXANOL® are given in the Table below.

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ACRONAL846/TEXANOL		
	Formulation (by weight)	formulation (by volume)
	Lb.	Gal
	H2O	75.18
	PG	63.05
	X-102	6.57
5	RM825	16.05
	TAMOL850	2.41
	WET KL245	12.81
	AMP95	0.14
10	TP-900	169.75
	ATOMITE	98.76
	ACRONAL A846	540.11
	TEXANOL	27.07
	DREWPLUS L493	5.25
15	H2O	33.64
	Total	1050.79
		100.00
	wt/gal	10.51
	%sol/wt	53.62
	%sol/vol.	41.88
	%PVC	22.62

ACRONAL846/EG			
	formulation (by weight)	Formulation (by volume)	
	lb.	Gal	
	H2O	75.57	9.07
5	PG	63.38	7.33
	X-102	6.61	0.74
	RM825	11.48	1.32
	TAMOL850	2.42	0.24
10	WET KL245	12.87	1.49
	AMP95	0.14	0.02
10	TP-900	170.63	5.12
	ATOMITE	99.27	4.40
15	ACRONAL A846	542.91	62.05
	EG-derivative	27.21	3.46
	DREWPLUS L493	5.27	0.70
	H2O	33.82	4.06
	Total	1051.58	100.00
	wt/gal		10.52
	%sol/wt		56.34
	%sol/vol.		45.44
	%PVC		20.95

Semigloss paint formulation of high Tg PS/PMMA latex, UCAR 430, has been prepared for physical testing. The formulations with ethylene glycol soybean oil esters are given in the Table below.

UCAR430/TEXANOL			
		formulation (by weight)	formulation (by volume)
		lb.	gal
	H2O	79.51	9.55
5	PG	55.69	6.44
	X-102	6.71	0.75
	RM825	22.32	2.57
	TAMOL850	3.05	0.31
	WET KL245	9.67	1.12
	AMP95	0.28	0.04
10	TP-900	162.60	4.88
	ATOMITE	89.43	3.96
	UCAR430	548.78	63.08
	TEXANOL	36.99	4.68
	DREWPLUS L493	2.56	0.34
15	H2O	19.11	2.29
		1036.70	100.00
	wt/gal		10.37
	%sol/wt		50.38
	%sol/vol.		38.62
	%PVC		22.90

UCAR430/EG			
	formulation (by weight)	formulation (by volume)	
	lb.	gal	
H2O	80.01	9.61	
PG	56.04	6.48	
X-102	6.75	0.75	
5 RM825	17.51	2.01	
TAMOL850	3.07	0.31	
WET KL245	9.74	1.13	
AMP95	0.29	0.04	
10 TP-900	163.62	4.91	
ATOMITE	89.99	3.99	
UCAR430	552.22	63.47	
EG-derivative	37.22	4.74	
DREWPLUS L493	1.96	0.26	
15 H2O	19.23	2.31	
	1037.64	100.00	
	wt/gal	10.38	
	%sol/wt	54.10	
	%sol/vol.	43.44	
	%PVC	20.49	

## RESULTS

The physical property testing results are shown in Table below

### FREEZE-THAW AND THERMAL STABILITIES

	Semigloss high Tg latex	hiding power	gloss @ 60°	physical appearance
5	Ucar 430 + texanol			
	Control	92	26.6/21.1	no settling
	Oven	90	21.0/17.0	no settling
	Freezer	91.5	26.6/21.2	no settling
10	Ucar 430+EG-derivative			
	Control	93	33.9/25.9	no settling
	Oven	92	33.1/24.2	no settling
	Freezer	93	33.0/26.6	no settling
15	Acronal A846+texanol	hiding power	gloss @ 60°	physical appearance
	Control	94	29.5/23.3	no settling
	Oven	95	31.2/24.8	no settling
	Freezer	94	29.1/28.4	no settling
20	Acronal A846+EG-derivative			
	Control	94	34.6/26.1	no settling
	Oven	95	35.3/18.7	no settling
	Freezer	95	34.8/24.5	no settling

From the results, the incorporating of ethylene glycol soy oil ester as a coalescent aid in paint formulations with high Tg latex polymers showed thermal stability and freeze-thaw stability similar to commercial coalescent aid, TEXANOL® (Eastman Kodak). There was no settling in all paint formulations. The gloss and hiding power were stable in all paint formulation after freeze-thaw and heat-cool for at least 5 cycles. Paint formulation with the new coalescent aid manifested the improvement in gloss relatively to conventional coalescent aid incorporated formulation.

## SCRUB RESISTANCE TESTING RESULTS

Semigloss paint	Scrub resistant(cycles)
Acronal A846+texanol	748
Acronal A846 + Methyl Ester	782
Acronal A846+EG-derivative	995
Ucar 430 + texanol	687
Ucar 430 + Methyl Ester	755
Ucar 430+EG-derivative	783

The scrub resistance of paint formulation with ethylene glycol

10 soy oil ester as a coalescent aid show better scrub resistance than paint formulation with commercial coalescent aid, TEXANOL® (Eastman Kodak). Both of high Tg latex polymers used in this invention gave the same trend in scrub resistance.

## BLOCKING RESISTANCE TESTING RESULTS

	Blocking resistant rating	Performance
15 Acronal A846+texanol	5.0-6.0	fair-good
Acronal A846 + Methyl Ester	5.0-6.0	Fair-good
AcromalA846+EG-derivative	6.0-7.0	good-very good
Ucar 430 + texanol	8.0	very good
Ucar 430 + Methyl Ester	8.0	Very good
20 Ucar 430+EG-derivative	9.0	Excellent

Paint formulation with ethylene glycol soy oil ester as a coalescent aid showed better blocking resistance than paint formulation with the commercial coalescent aid, TEXANOL® (Eastman Kodak). Both of high Tg latex polymers used in this invention provided good blocking resistance.

**PENCIL HARDNESS TEST RESULTS**

Semigloss paint	Hardness rating
Acronal A846 +texanol	2B
Acronal A846 + Methyl Ester	2B
Acronal A846 + EG-derivative	3B
Ucar 430 + texanol	4B
Ucar 430 + Methyl Ester	4B
Ucar 430 + EG-derivative	5B

Hardness of film from paint formulation with ethylene glycol soy oil ester as a coalescent aid was lower than hardness of film from paint formulation with the commercial coalescent aid, TEXANOL® (Eastman Kodak). Both of high Tg latex polymers used in this invention provided less hardness.

**ADHESION TEST**

15	Semigloss high Tg latex	Surface of cross-cut area from which flaking has occurred (with epoxy primer)
	Acronal A846 +texanol	>65%
	Acronal A846 + Methyl Ester	>65%
	Acronal A846 + EG-derivative	>65%
20	Ucar 430 + texanol	>65%
	Ucar 430 + Methyl Ester	>65%
	Ucar 430 + EG-derivative	>65%

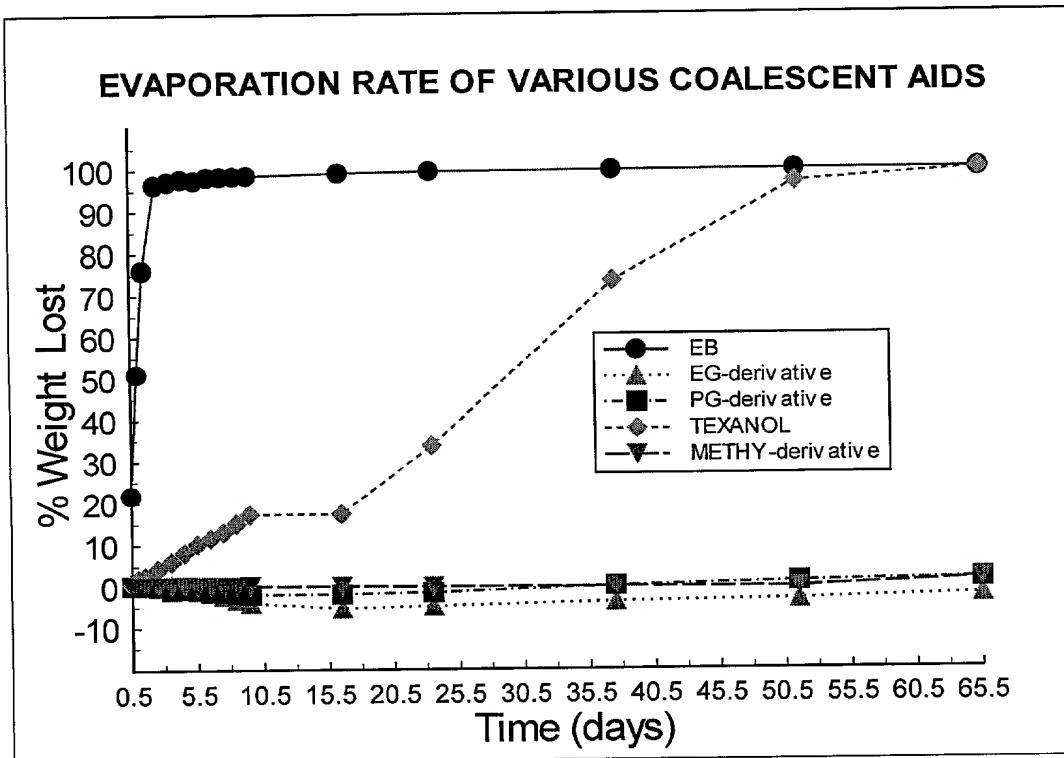
Paint formulation with both high Tg latex polymers and ethylene glycol soy oil ester as a coalescent aid, exhibited poor performance in adhesion of paint film on epoxy-primed aluminum panel. The same poor performance occurred with the commercial coalescent aid, TEXANOL® (Eastman Kodak).

**EXAMPLE 5**

Evaporation rate of new glycol derivative soy oil ester relatively to conventional coalescent aids, TEXANOL® (Eastman Kodak) and Ethylene glycol n-Butyl ether ( Union Carbide).

Weighed three replicas of each coalescent aid into aluminum pans. Keep all aluminum pans with coalescent at room temperature. The percentage of weight loss of each coalescent aid was measured.

The evaporation rate of ethylene glycol, propylene glycol and methyl ester derivatives as well as TEXANOL® (Eastman Kodak) and Ethylene glycol n-Butyl ether ( EB, Union Carbide) are shown below.



The evaporation rates of glycol derivative and methyl soy oil ester are lower than comparative coalescent aids (TEXANOL® and EB). Ethylene glycol monobutyl ether is water-soluble coalescent aid and evaporate from the film and is therefore a VOC. Texanol®, water-insoluble coalescent aid could gradually evaporate from the film while it is aging. The new soy oil glycol ester in this invention does not show a loss in weight. This means new soy oil glycol ester would become a part of coating film, and does not give off

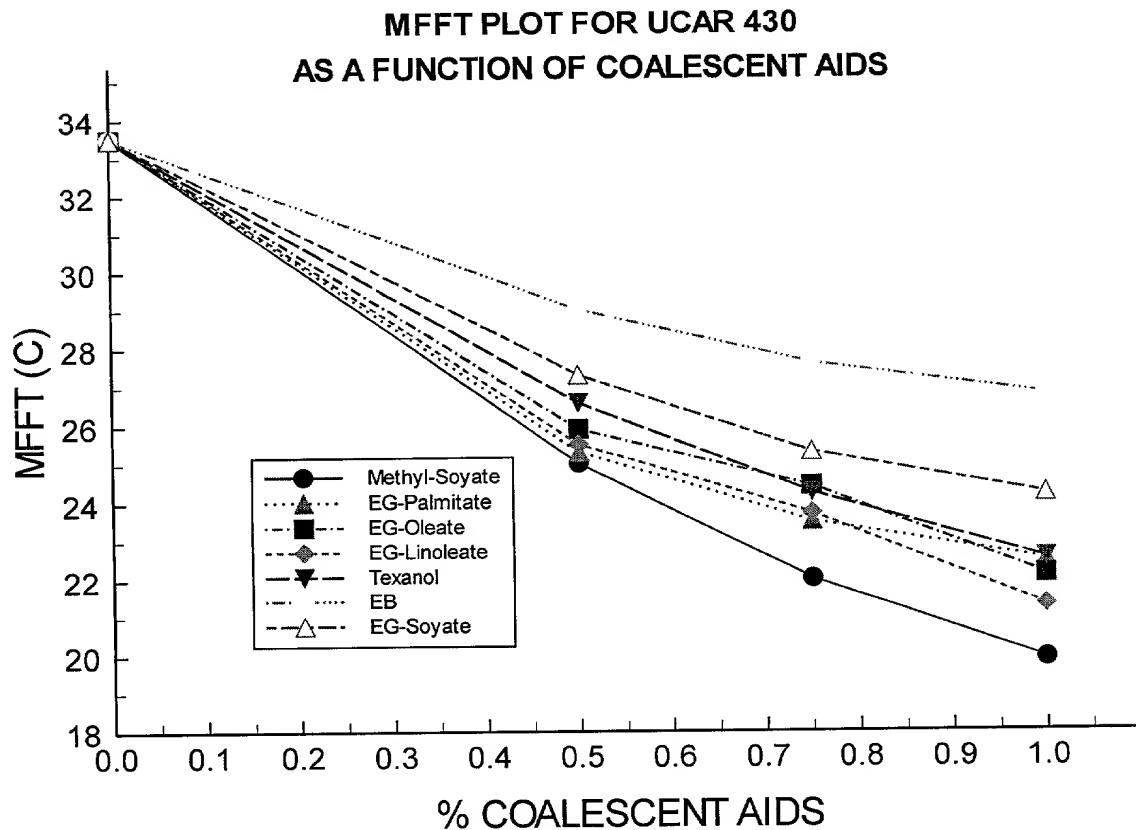
VOCs. The data indicates a slight but real increase in weight after 2 days consistent with a drying oil reacting slowly with air to cure.

MFFT measurement with the incorporation of glycol palmitate, oleate and linoleate.

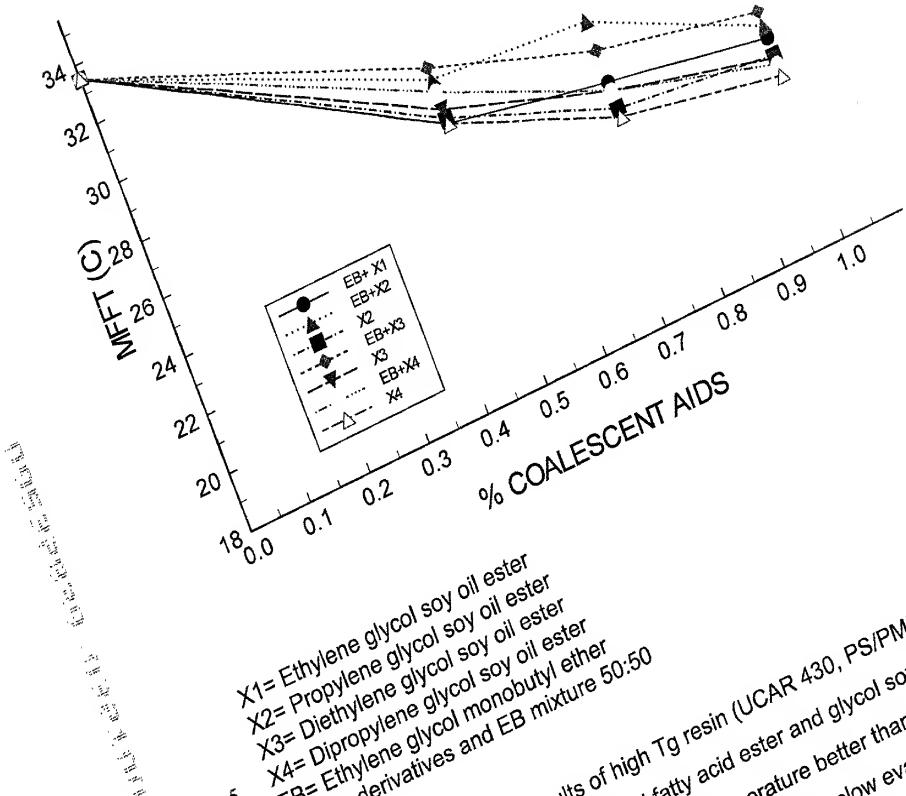
5 Ethylene glycol derivatives of palmitic acid, oleic acid and linoleic acid were added to coatings formulated with high Tg resin ( Ucar 430 and Acronal A846) at levels of 0.5%, 0.75% and 1.0% by weight. The formulations were equilibrated for two days before taking MFFT measurement.

The MFFT results are shown as follows.

10 **UCAR 430**



MFFT PLOT FOR UCAR 430  
AS A FUNCTION OF COALESCENT AIDS

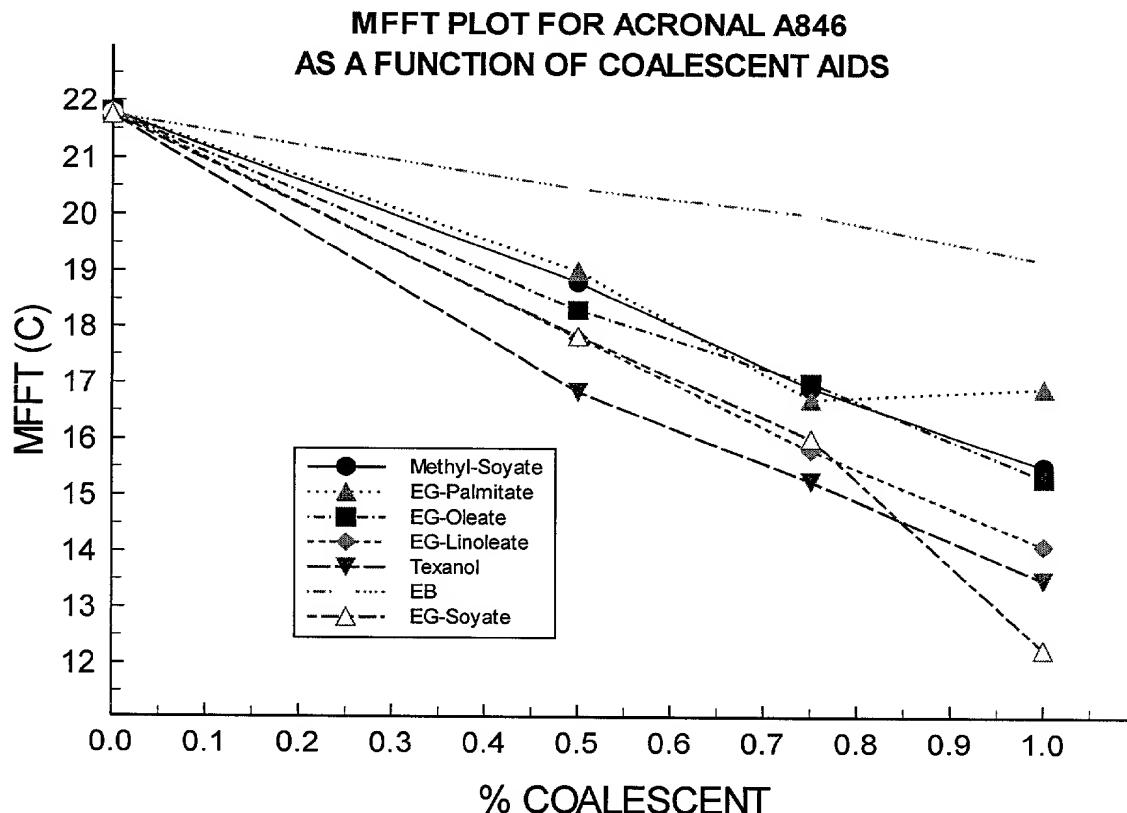


X1= Ethylene glycol soy oil ester  
 X2= Propylene glycol soy oil ester  
 X3= Diethylene glycol soy oil ester  
 X4= Dipropylene glycol soy oil ester  
 EB= Ethylene glycol monobutyl ether  
 EB+X= derivatives and EB mixture 50:50

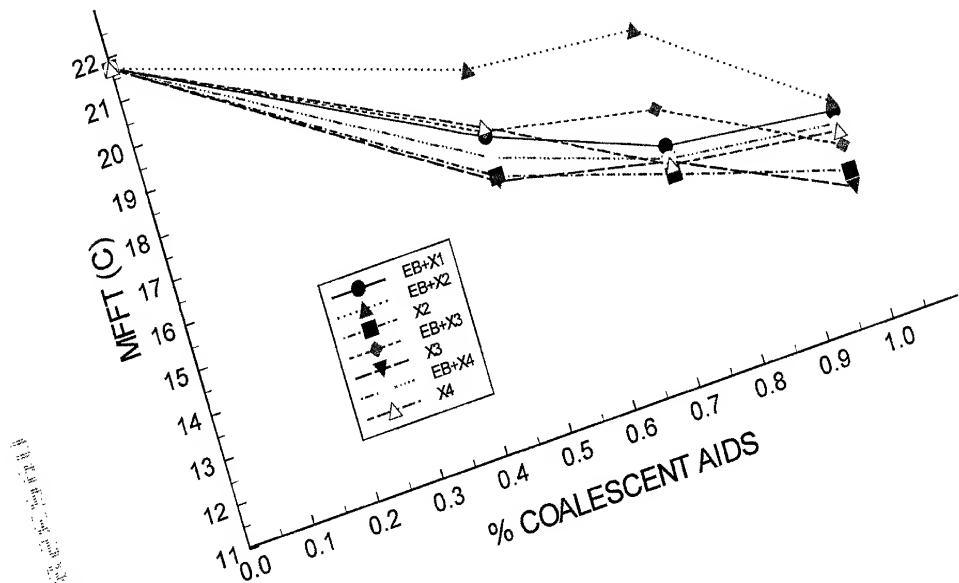
From the MFFT results of high Tg resin (UCAR 430, PS/PMMA) formulation, it was found that glycol fatty acid ester and glycol soy oil ester could lower the minimum film formation temperature better than ethylene glycol monobutyl ether (EB). This may be due to the slow evaporation rates of the glycol fatty acid ester and glycol soy oil ester relative to ethylene glycol monobutyl ether. Thus the coalescent new aids may stay in the system long enough to function in lowering the minimum film formation temperature. All glycol soy oil esters could reduce the minimum film formation temperature in the same fashion as commercial coalescent aid, Texanol®.

Some of glycol fatty acid esters, i.e. methyl soyate, ethylene glycol oleate and ethylene glycol linoleate, could lower the minimum film formation temperature better than Texanol®. Methyl soyate ester could lower the MFFT the best.

### ACRONAL A846



MFFT PLOT FOR ACRONAL A846  
AS A FUNCTION OF COALESCENT AIDS



X1= Ethylene glycol soy oil ester

X2= Propylene glycol soy oil ester

X3= Diethylene glycol soy oil ester

X4= Dipropylene glycol soy oil ester

EB= Ethylene glycol monobutyl ether

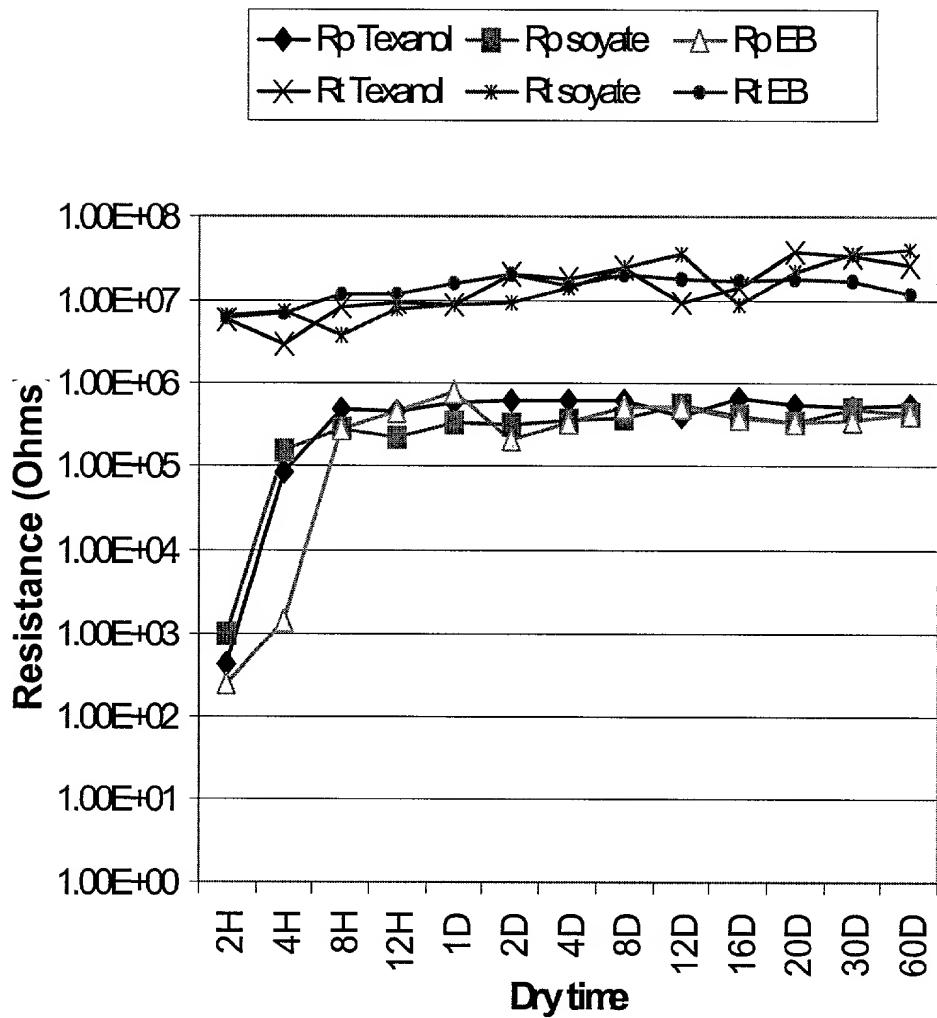
EB+X= derivatives and EB mixture 50:50

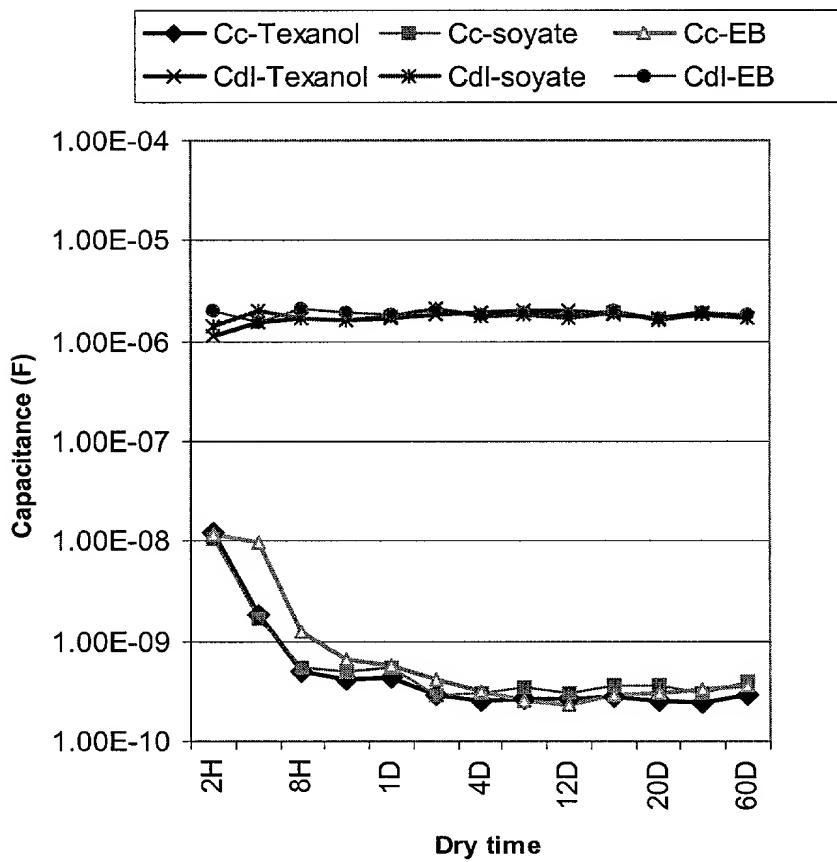
From the MFFT results of high Tg resin (ACRONAL A846, pure acrylic resin) formulation, it was found that all glycol fatty acid ester and glycol soy oil esters could lower the minimum film formation temperature better than ethylene glycol monobutyl ether (EB). They also could reduce the minimum film formation temperature in the same manner as commercial coalescent aid, Texanol®. None of them could lower the minimum film formation temperature better than Texanol® except ethylene glycol soy oil ester at concentration of 1.0 % by weight.

## EXAMPLE 6

AC Impedance measurements were taken to obtain the trend of the coating capacitance and coating resistance values as a function of dry time to express the film formation of latex coating as a function of dry time. In addition, the measurements with various coalescent aid formulations would also impact the effect of coalescent aid in latex film formation.

AC Impedance measurements were taken on 0.5% EB as a function of dry time, 0.5% TEXANOL® as a function of dry time, and 0.5% ethylene glycol soy oil ester as a function of dry time. A two-time constant equivalent circuit model, as a hypothetical equivalent circuit for the coated aluminum system, was used to correlate the Bolt and Nyquist result plots from the AC Impedance measurements. The coating resistance, coating capacitance, charge transfer resistance, and associated double layer capacitance obtained were plotted as a function of dry time. The plot showed an increasing in coating resistance as a function of dry time until approximately 8 days dry time, then it leveled off. For the charge transfer resistance, there was a slight increase in the resistance which was not significant. This was because there was no corrosion taking place.





The coating capacitance plot exhibited a decreasing trend as a function of dry time until approximately 8 days then the capacitance was constant. This trend can be explained by the phenomenon that at shorter drying periods, the coating film was not completely coalesced, and there remained pores and the diffusion of electrolyte solution through the film could take place which resulted in the increase in film capacitance. For the longer drying periods the film was more coalesced and less diffusion took place. Therefore, the resistance of film is higher and the capacitance was lower as a function of longer dry periods.

The results of coating capacitance and resistance as a function of dry time of formulation with soybean oil coalescent aid showed an increase in coating resistance and a decrease in coating capacitance as well as the

formulation with the conventional coalescent aid, TEXANOL®. This supported the contention that soybean oil coalescent aid effected latex film formation as well as TEXANOL®.

### EXAMPLE 7

Various IR and NMR spectra were taken of glycol soybean oil ester derivatives, methyl soybean oil derivatives, and ethylene glycol fatty acid derivatives.

### IR-SPECTRA

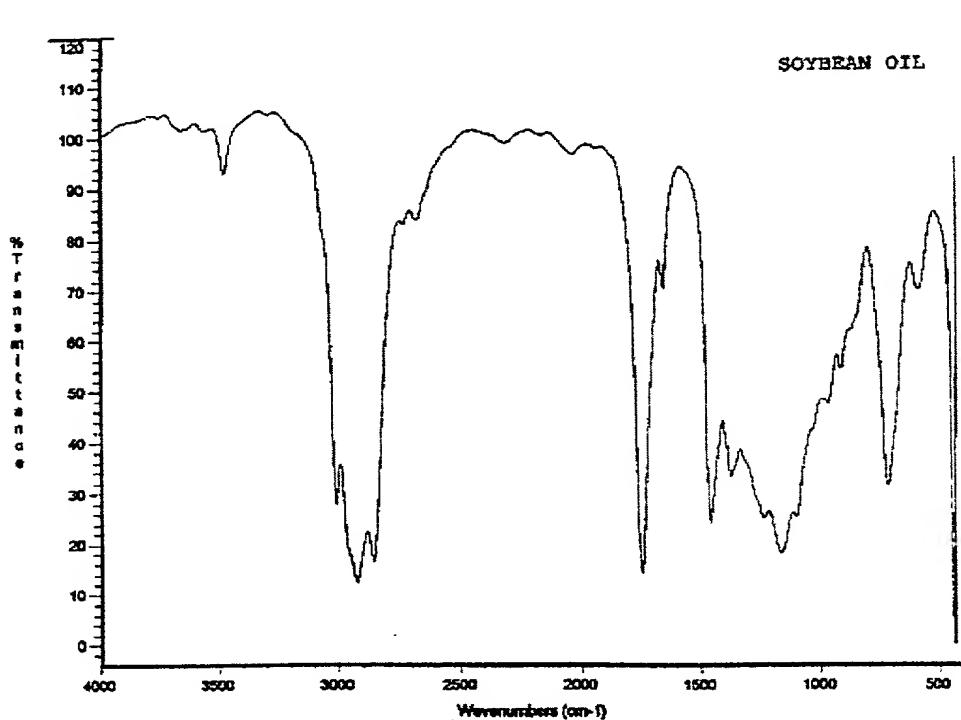


Figure 2.1. IR-spectra of soybean oil

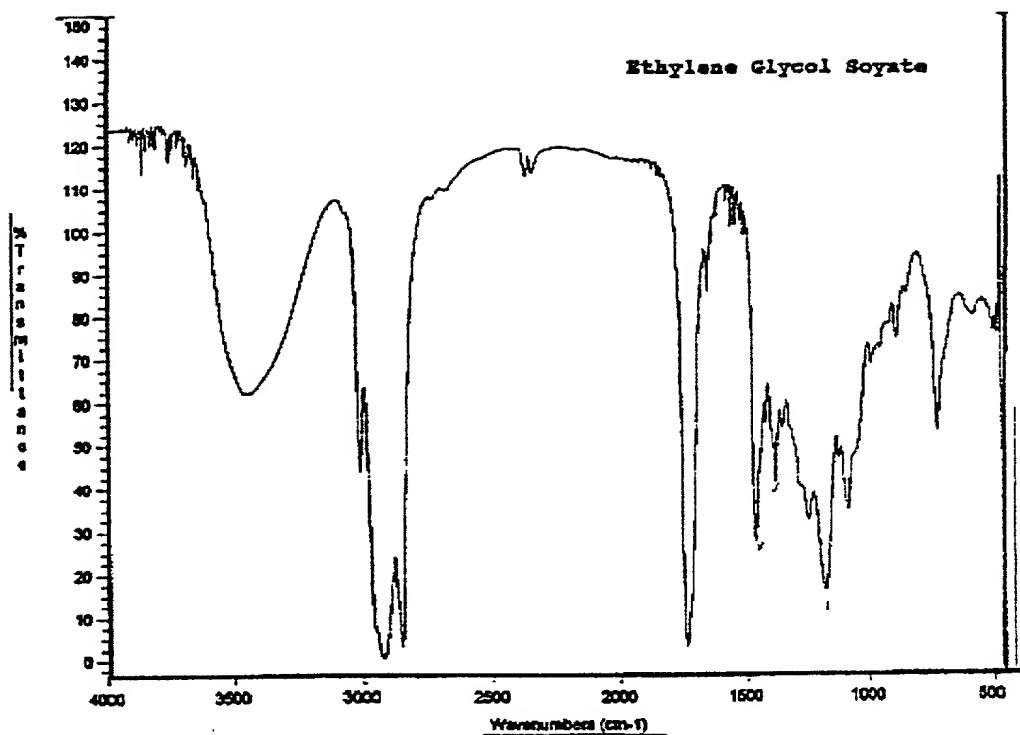


Figure 2.2. IR-spectra of ethylene glycol soybean oil ester derivative

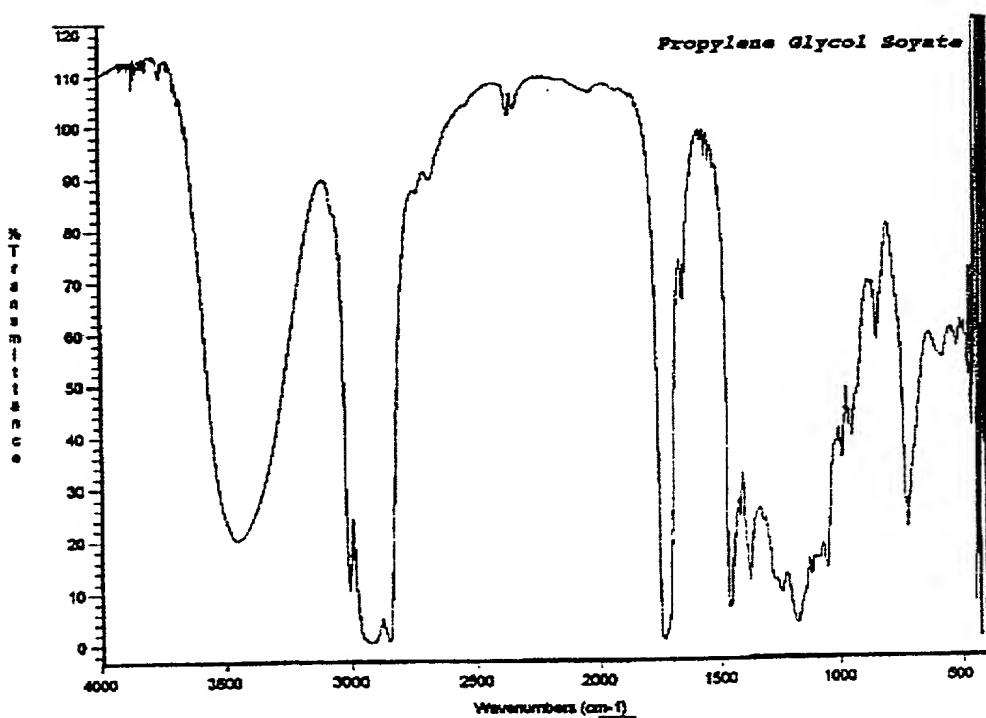


Figure 2.3. IR-spectra of propylene glycol soybean oil ester derivative

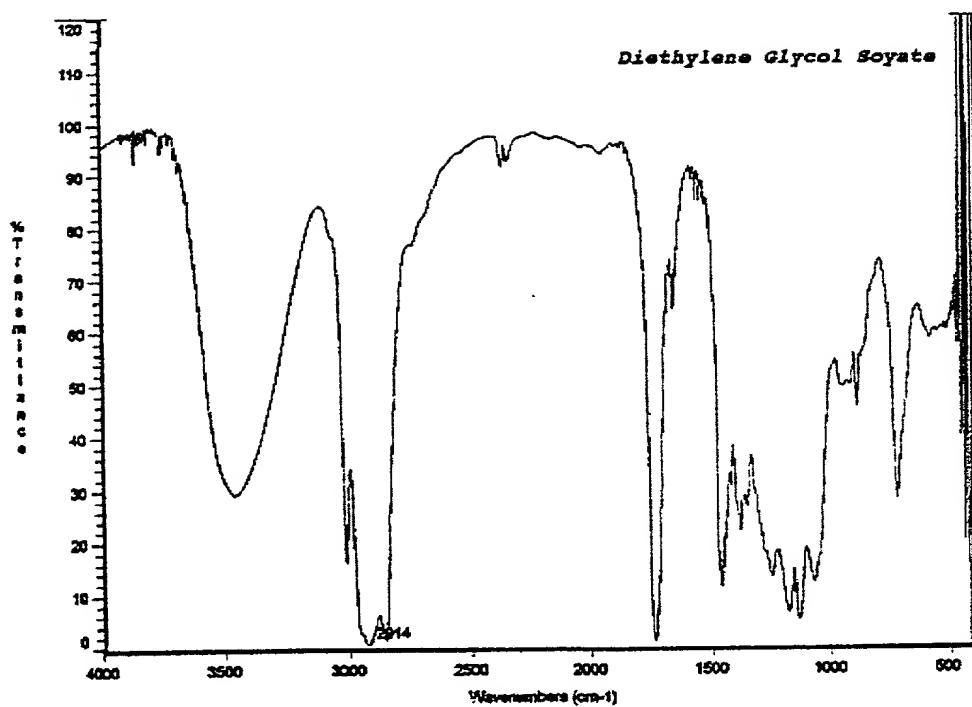


Figure 2.4. IR-spectra of diethylene glycol soybean oil ester derivative

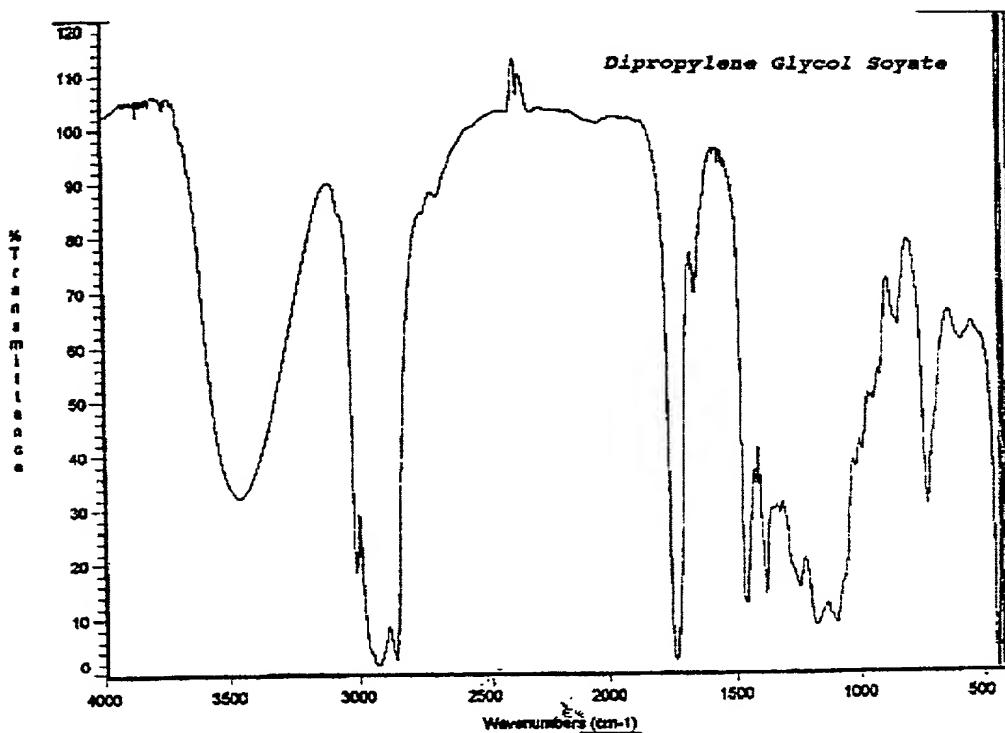


Figure 2.5. IR-spectra of dipropylene glycol soybean oil ester derivative

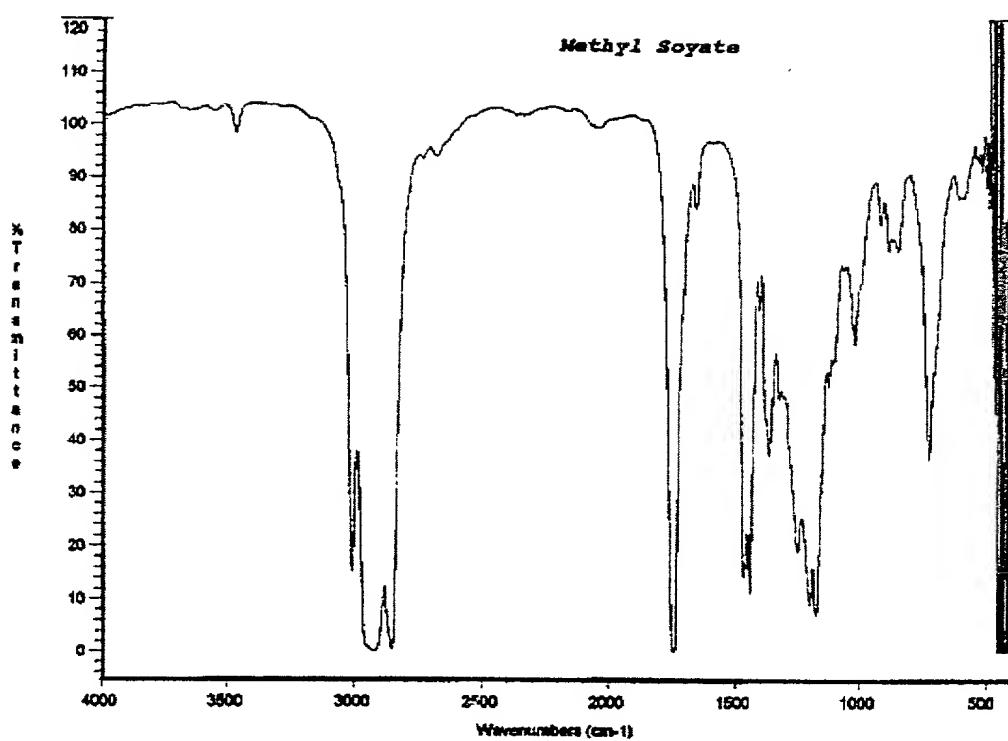


Figure 2.6. IR-spectra of methyl soybean oil ester derivative

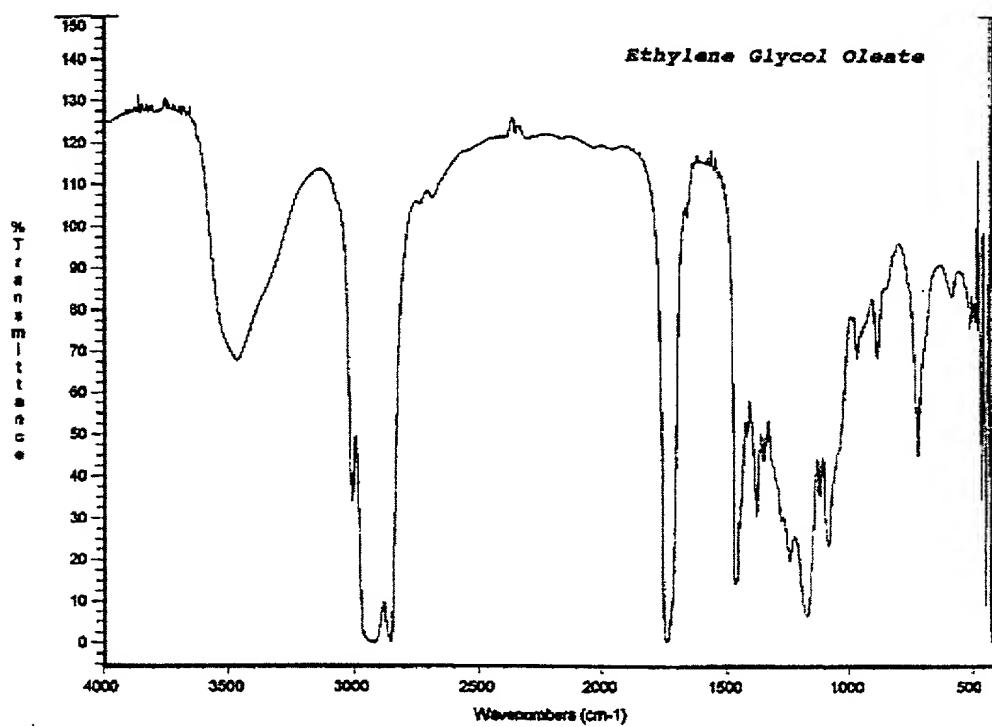


Figure 2.7. IR-spectra of ethylene glycol ester derivative

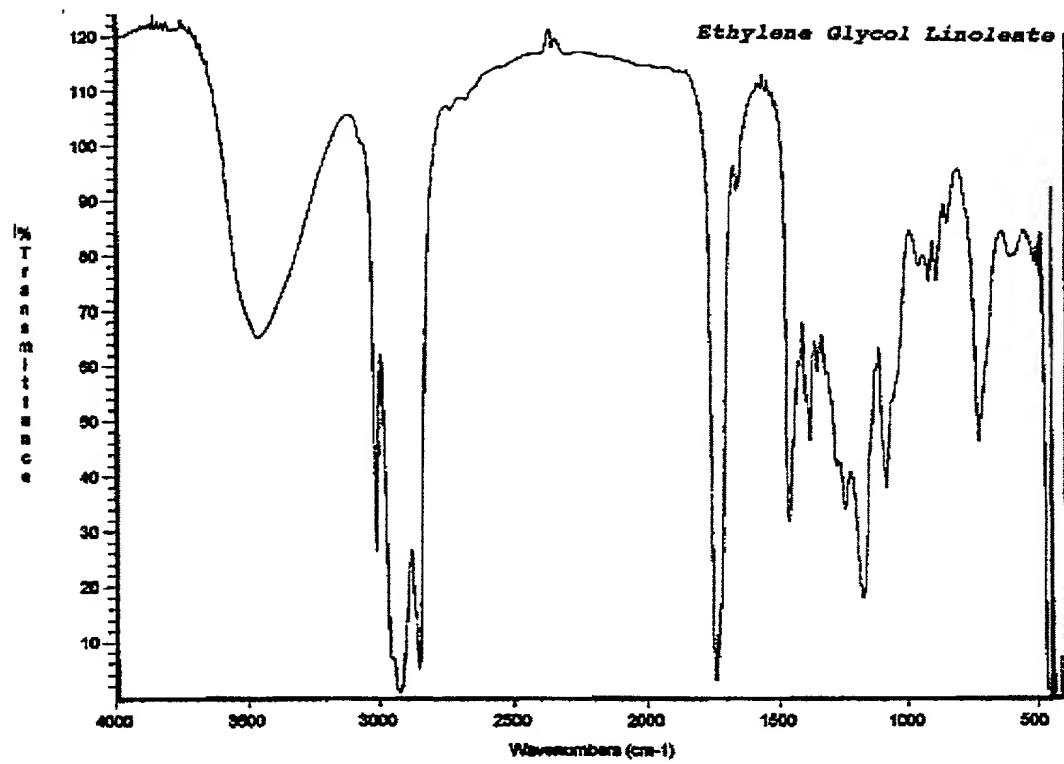
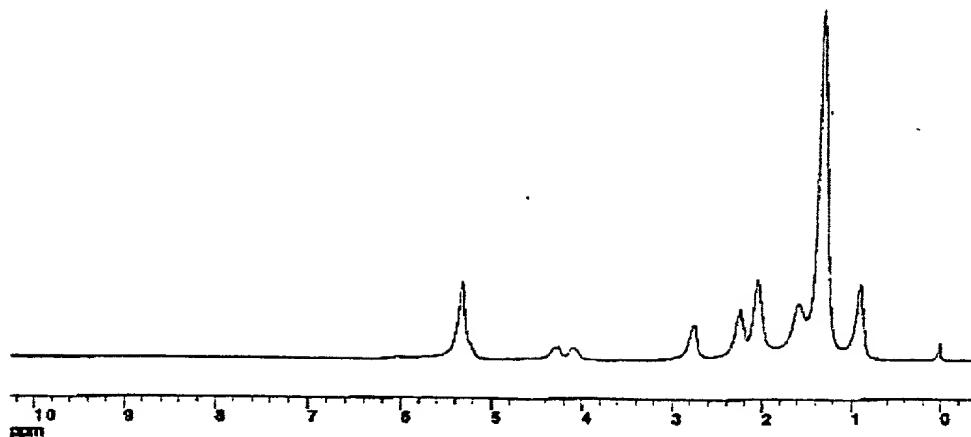


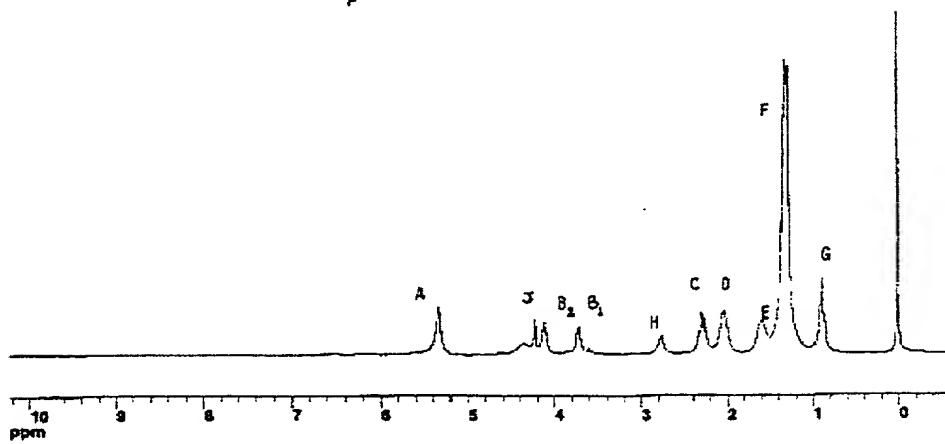
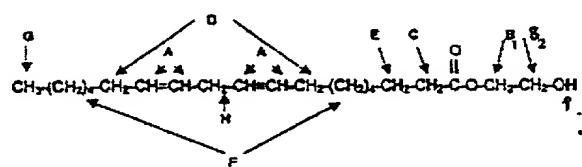
Figure 2.8. IR-spectra of ethylene glycol linoleate ester derivative

## H1-NMR DATA

SOYBEAN OIL

Figure 3.1.  $\text{H}^1$ -NMR spectra of soybean oil

## Ethylene Glycol Soyate

Figure 3.2  $\text{H}^1$ -NMR spectra of ethylene glycol soybean oil ester derivative

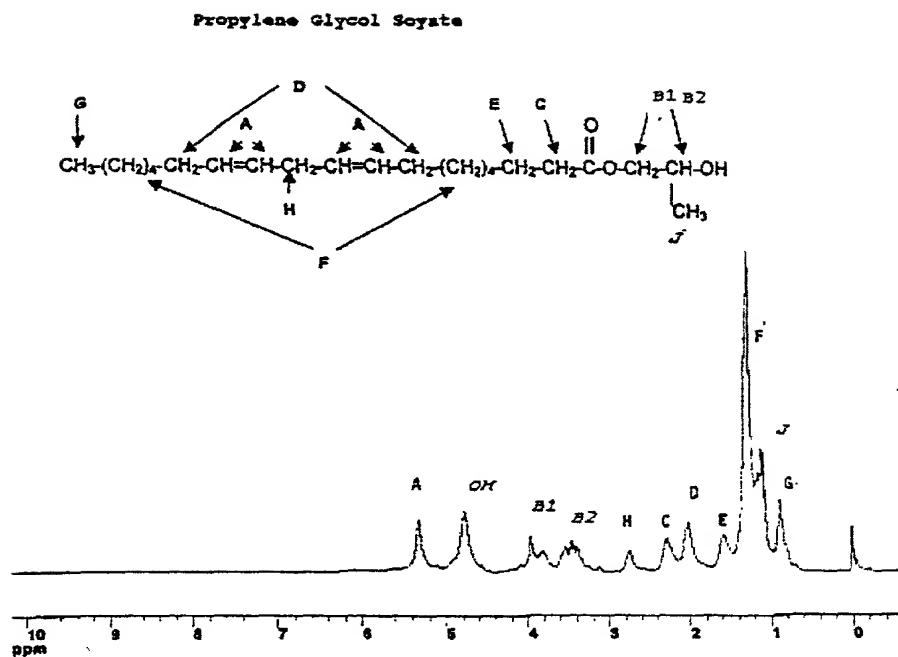


Figure 3.3 H1-NMR spectra of propylene glycol soybean oil ester derivative

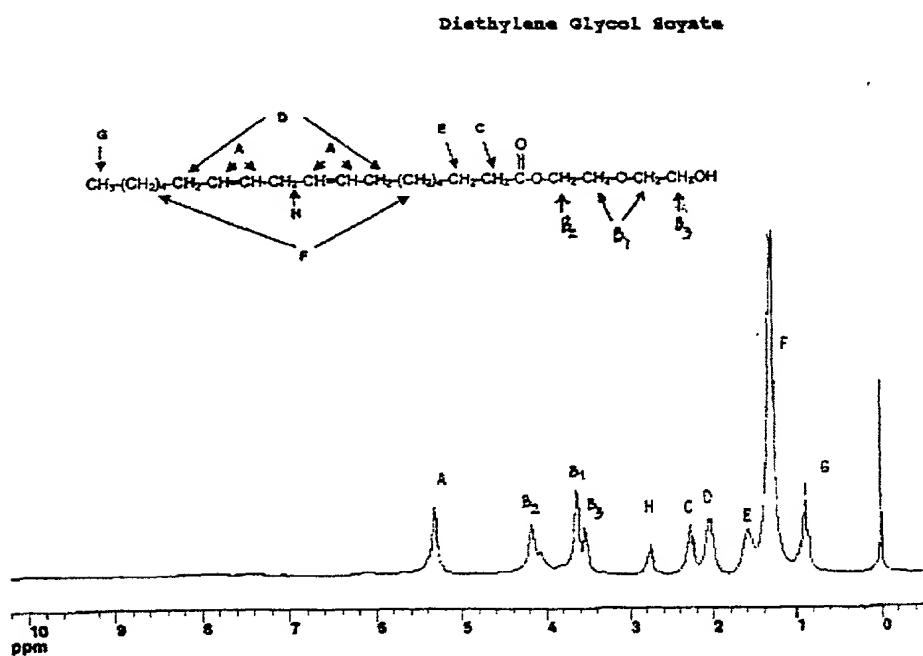


Figure 3.4 H1-NMR spectra of diethylene glycol soybean oil ester derivative

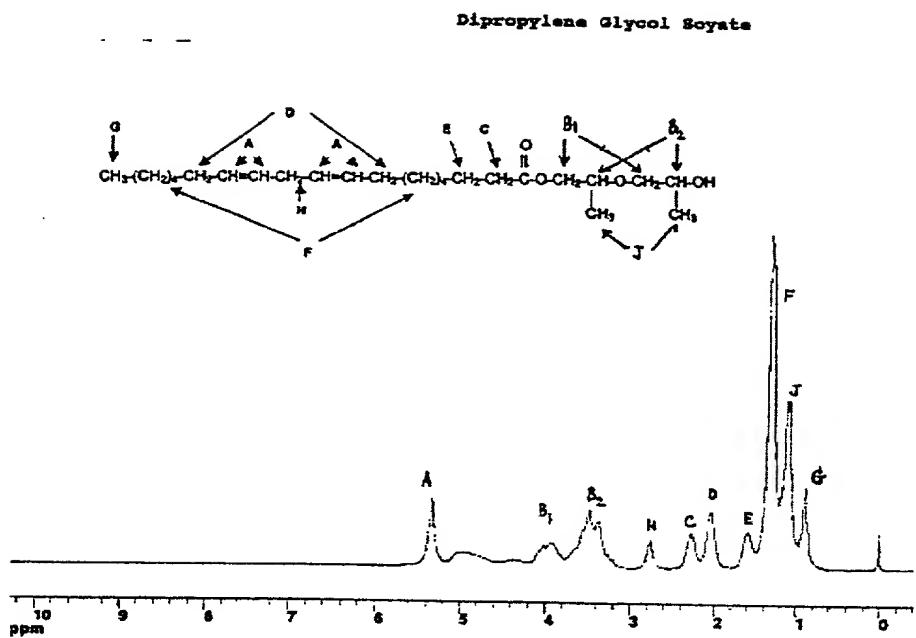


Figure 3.5 H1-NMR spectra of dipropylene glycol soybean oil ester derivative

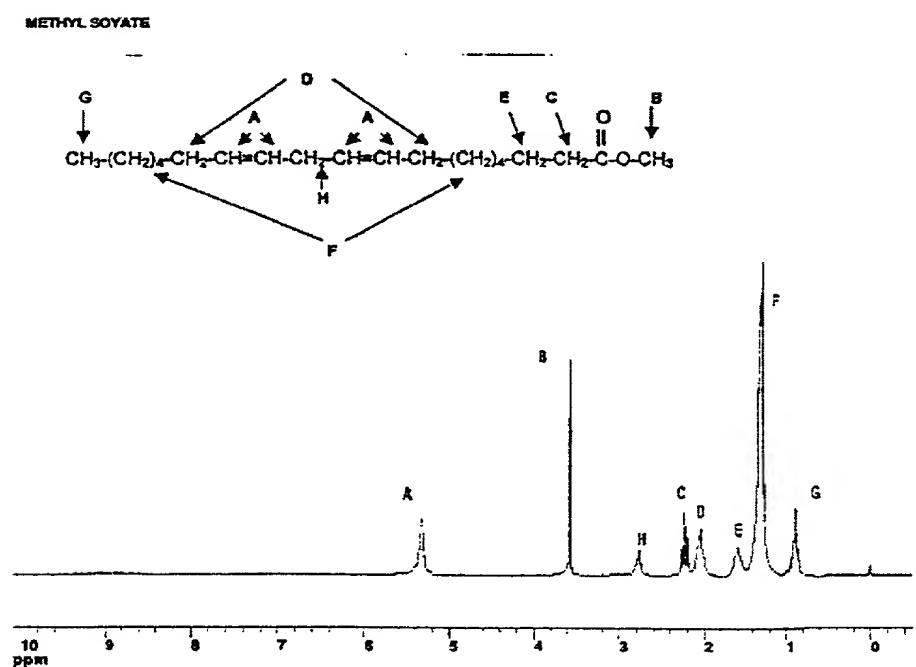


Figure 3.6 H1-NMR spectra of methyl soybean oil ester derivative

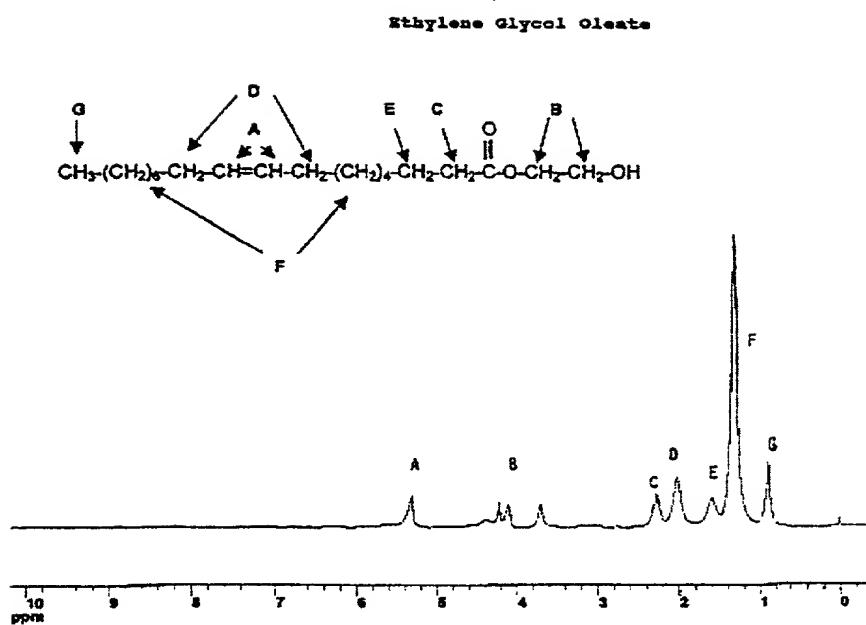


Figure 3.7  $^1\text{H}$ -NMR spectra of ethylene glycol ester derivative

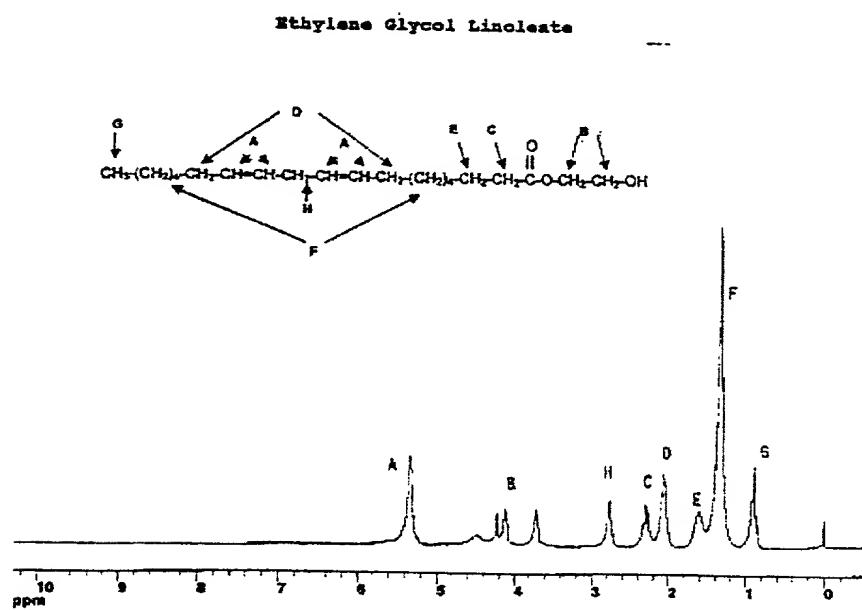


Figure 3.8  $^1\text{H}$ -NMR spectra of ethylene glycol linoleate ester derivative

## C13-NMR DATA

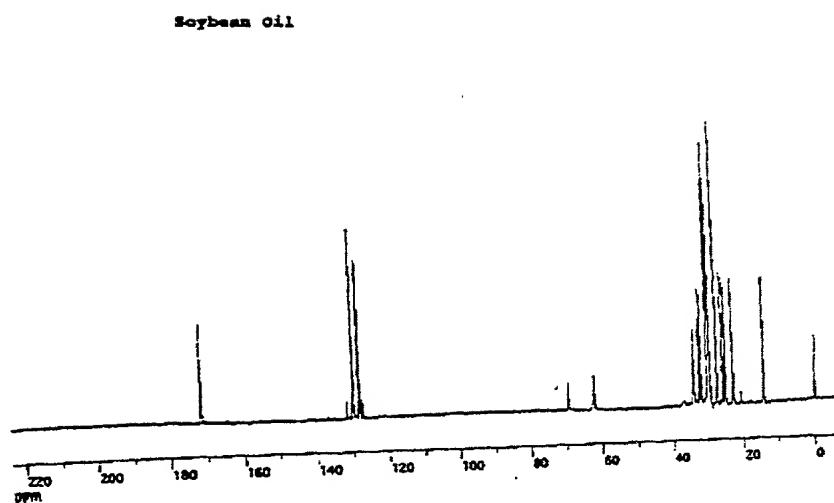


Figure 3.9. C13-NMR spectra of soybean oil

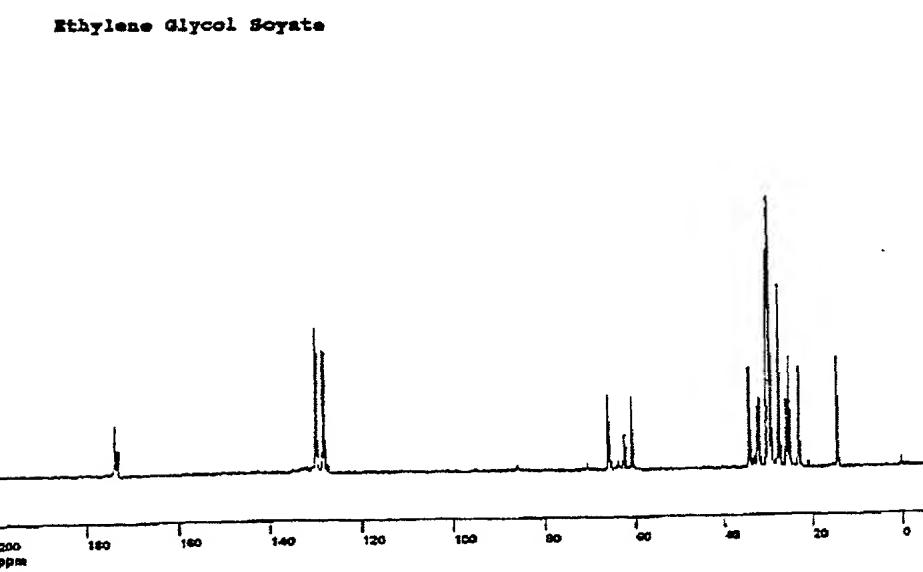


Figure 3.10. C13-NMR spectra of ethylene glycol soybean oil ester derivative

## PROPYLENE GLYCOL SOYATE

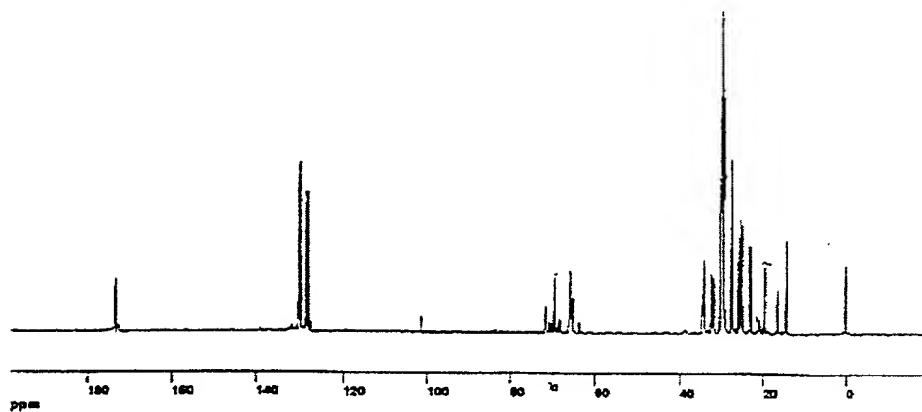


Figure 3.11. C13-NMR spectra of propylene glycol soybean oil ester derivative

## DIETHYLENE GLYCOL SOYATE

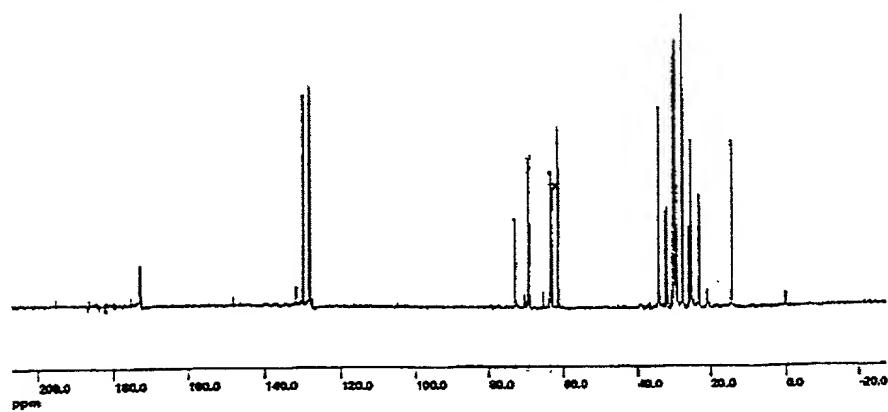


Figure 3.12. C13-NMR spectra of diethylene glycol soybean oil ester derivative

## DIPROPYLENE GLYCOL SOYATE

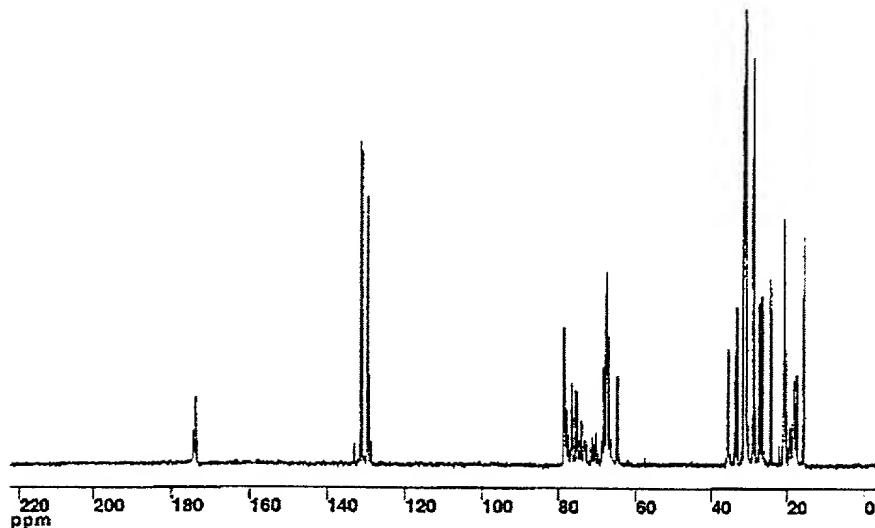


Figure 3.13. C13-NMR spectra of dipropylene glycol soybean oil ester derivative

### EXAMPLE 8

Physical properties such as solubility parameters, Hydrophilic Lipophilic Balance values (HLB values), density, and surface tension were measured of various soybean oil esters, ethylene glycol monobutyl ether (EB), and Texanol®. The soybean oil esters included ethylene glycol soybean oil derivative, diethylene glycol soybean oil derivative, propylene glycol soybean oil derivative, dipropylene glycol soybean oil derivative, and methyl ester soybean oil derivative.

Properties	Soy oil derivative esters						
	EG <sup>(a)</sup>	DEG <sup>(b)</sup>	PG <sup>(c)</sup>	DPG <sup>(d)</sup>	ME <sup>(e)</sup>	EB <sup>(f)</sup>	
Density(g/cm <sup>3</sup> )	0.94	0.93	0.91	0.91	0.87		
HLB	2.7	4.8	3.4	5.9	N/A	14.9	N/A
Interfacial tension (dyne/cm)	36.2	36.1	33.3	35.7	30.1	27.4	28.9
Solubility Parameters							
$\delta_{\text{total}}$ (J/cm <sup>3</sup> ) <sup>1/2</sup>	18.6	18.2	18.0	17.6	17.9	20.7	19.3
$\delta_d$ (J/cm <sup>3</sup> ) <sup>1/2</sup>	16.2	15.8	15.7	15.4	17.2	15.9	15.6
$\delta_p$ (J/cm <sup>3</sup> ) <sup>1/2</sup>	2.03	2.04	1.88	1.85	1.50	4.9	3.07
$\delta_h$ (J/cm <sup>3</sup> ) <sup>1/2</sup>	8.8	8.7	8.5	8.3	4.6	12.3	10.9

- (a) Ethylene glycol soybean oil derivative (EG)
- (b) Diethylene glycol soybean oil derivative (DEG)
- (c) Propylene glycol soybean oil derivative (PG)
- (d) Dipropylene glycol soybean oil derivative (DPG)
- (e) Methyl ester soybean oil derivative (ME)
- (f) Ethylene glycol monobutyl ether (EB)
- (g) Texanol<sup>®</sup>

From the solubility parameters shown in the table above, it was found that the total solubility parameter of EB is greater than TEXANOL and the glycol soybean oil derivatives. In addition, the polar solubility parameter ( $\delta_p$ ) and hydrogen bonding solubility parameter ( $\delta_h$ ) decreased in the order of EB>Texanol>glycol soybean oil derivatives. Therefore, EB would be able to be miscible with water better than Texanol and glycol soybean oil derivatives.

The solubility parameter of a polymer, the polystyrene methyl methacrylate copolymer (PS-MMA, UCAR 430) was considered. The solubility parameter of PS-MMA is 18.2 (J/cm<sup>3</sup>)<sup>1/2</sup> as stated in J. Brandrup

and E.H. Immergut, *Polymer Handbook*, 2<sup>nd</sup> ed., Wiley-Interscience, New York, p 519 (1989). It was found that the solubility parameter of glycol soy oil esters and Texanol were close to that of polystyrene rather than EB. Ideally for hydrophobic coalescent aids, a solubility parameter match will produce a better coalescent aid. As a result, Texanol and glycol soybean oil derivatives should coalesce the polystyrene methyl methacrylate copolymer (UCAR 430) better than EB.

Higher HLB values correspond with greater miscibility with water. In the above table the HLB value of EB was greater than that of glycol soybean oil derivatives. This corresponded with the solubility parameter of EB. Therefore, EB would be miscible with water better than glycol soybean oil derivatives.

The value of the interfacial tension is a measure of the dissimilarity of the two types of molecules facing each other across the interface. The smaller the interfacial tension, the more similar in nature the two molecules are, and the greater the interaction between the molecules. In the table above the interfacial tension of EB was 27.4 dyne/cm which was less than those of Texanol® and glycol soybean oil esters. Therefore, EB would be miscible with water better than Texanol® and glycol soybean oil esters.

CLAIMS

## WHAT IS CLAIMED IS:

1. A film-forming composition comprising a continuous aqueous phase and a dispersed phase, the dispersed phase comprising (i) a particulate polymer or emulsified liquid prepolymer, and (ii) a coalescent aid comprising an ester having the formula  $RCOOX$  wherein R and X are independently hydrocarbyl or substituted hydrocarbyl and at least one of R and X comprises at least two unsaturated carbon-carbon bonds.  
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2. The film-forming composition of claim 1 wherein R and X independently comprise about 1 to about 30 carbon atoms.
3. The film-forming composition of claim 1 wherein R and X independently comprise about 1 to about 30 carbon atoms and, in combination, contain no more than about 35 carbon atoms.
4. The film-forming composition of claim 1 wherein R and X each contain an unsaturated carbon-carbon bond.
5. The film-forming composition of claim 1 wherein R comprises at least two unsaturated carbon-carbon bonds in conjugation.
6. The film-forming composition of claim 1 wherein R or X is substituted hydrocarbyl and the hydrocarbyl substituent is selected from the group consisting of ketones, esters, alcohols, amides, halogens, urea, urethane, and nitrile substituents.
7. The film-forming composition of claim 1 wherein the ester is prepared by the transesterification reaction between a fatty acid and a glycol.
8. The film-forming composition of claim 1 wherein the ester is an ester derived from a fatty acid of soybean oil, canola oil, or linseed oil.

9. The film-forming composition of claim 1 wherein the ester is an ethylene glycol monoester derived from a fatty acid of soybean oil.

10. The film-forming composition of claim 1 wherein the ester is an ethylene glycol monoester derived from a fatty acid of soybean oil.

11. The film-forming composition of claim 1 wherein the ester is a propylene glycol monoester derived from a fatty acid of soybean oil.

12. The film-forming composition of claim 1 wherein the ester is a dipropylene glycol monoester derived from a fatty acid of soybean oil.

13. The film-forming composition of claim 1 wherein the ester is a methyl ester derived from a fatty acid of soybean oil.

14. The film-forming composition of claim 7 wherein the fatty acid is a fatty acid derived from soybean oil.

15. The film-forming composition of claim 1 wherein the weight of the ester is about 0.1 % to about 50 % of the weight of the particulate polymer or liquid pre-polymer.

16. The film-forming composition of claim 1 wherein the weight of the ester is about 0.1 % to about 4 % of the weight of the particulate polymer or liquid pre-polymer.

17. The film-forming composition of claim 1 wherein the continuous aqueous phase constitutes at least about 20 wt.% of the film-forming composition.

18. The film-forming composition of claim 17 wherein the ester is an ester derived from a fatty acid of soybean oil, canola oil, or linseed oil.

19. The film-forming composition of claim 1 wherein the dispersed

or continuous aqueous phase further comprises an additive selected from the group consisting of wetting aids, dispersants, thickeners, defoaming agents, biocides, algicides, ultra-violet inhibitors, flow agents, levelling agents, reology modifiers, freeze thaw stabilizing agents, Ph modifiers, flash rust inhibitors, and biocides.

20. The film-forming composition of claim 1 wherein the film-forming composition comprises a mixture of coalescent aids and the ester comprises at least about 5 wt.% of the mixture.

21. The film-forming composition of claim 1 wherein the ester is derived from a fatty acid contained in an oil obtained from a plant or animal and the unsaturated fatty acid comprises at least about 25 wt.% of the fatty acid content of the oil.

22. The film-forming composition of claim 1 wherein the film-forming composition comprises a mixture of coalescent aids, the ester comprises at least about 5 wt.% of the mixture, the ester is derived from a fatty acid contained in an oil obtained from a plant or animal, and the unsaturated fatty acid comprises at least about 25 wt.% of the fatty acid content of the oil.

23. The film-forming composition of claim 1 wherein the film-forming composition comprises a mixture of coalescent aids, the ester comprises at least about 5 wt.% of the mixture, the ester is derived from a fatty acid contained in an oil obtained from a plant or animal, and the unsaturated fatty acid comprises at least about 50 wt.% of the fatty acid content of the oil.

24. The film-forming composition of claim 23 wherein the film-forming composition contains at least about 20 wt.% water.

25. The film-forming composition of claim 23 wherein the film-forming composition contains at least about 20 wt.% water, at least about 10 wt.% particulate polymer or liquid pre-polymer, and the weight of the ester is about 0.1 % to about 50 % of the weight of the particulate polymer or liquid pre-

polymer.

26. The film-forming composition of claim 1 wherein the film-forming composition contains at least about 20 wt.% water, at least about 10 wt.% particulate polymer or liquid pre-polymer, and the weight of the ester is about 0.1 % to about 50 % of the weight of the particulate polymer or liquid pre-polymer.

27. The film-forming composition of claim 26 wherein at least 95 wt.% of the ester is dissolved in the particulate polymer or liquid pre-polymer.

28. The film-forming composition of claim 1 wherein at least 95 wt.% of the ester is dissolved in the particulate polymer or liquid pre-polymer.

29. The film-forming composition of claim 1 wherein the continuous aqueous phase contains less than about 10 wt.% organic solvent.

30. The film-forming composition of claim 1 wherein at least 95 wt.% of the ester is dissolved in the particulate polymer or liquid pre-polymer and the continuous aqueous phase contains less than about 10 wt.% organic solvent.

31. The film-forming composition of claim 30 wherein the film-forming composition contains at least about 20 wt.% water, at least about 10 wt.% particulate polymer or liquid pre-polymer, and the weight of the ester is about 0.1 % to about 50 % of the weight of the particulate polymer or liquid pre-polymer.

32. The film-forming composition of claim 31 wherein the film-forming composition comprises a mixture of coalescent aids, the ester comprises at least about 5 wt.% of the mixture, the ester is derived from a fatty acid contained in an oil found in a plant or animal, and the unsaturated fatty acid comprises at least about 50 wt.% of the fatty acid content of the oil.

33. The film-forming composition of claim 30 wherein the film-forming composition comprises a mixture of coalescent aids, the ester comprises at least about 5 wt.% of the mixture, the ester is derived from a fatty acid contained in an oil found in a plant or animal, and the unsaturated fatty acid comprises at least about 50 wt.% of the fatty acid content of the oil.

34. A film-forming composition comprising at least about 10 wt.% of a continuous aqueous phase and a dispersed phase, the dispersed phase comprising (i) a particulate polymer or emulsified liquid prepolymer, and (ii) a coalescent aid comprising an ester derived from a fatty acid contained in an oil found in a plant or animal, the ester having the formula  $RCOOX$  wherein R and X are independently hydrocarbyl or substituted hydrocarbyl and at least one of R and X comprises at least two unsaturated carbon-carbon bonds.

35. The film-forming composition of claim 34 wherein at least 95 wt.% of the ester is dissolved in the particulate polymer or liquid pre-polymer and the continuous aqueous phase contains less than about 10 wt.% organic solvent, based upon the weight of the continuous phase.

36. The film-forming composition of claim 35 wherein the film-forming composition contains at least about 20 wt.% water, at least about 10 wt.% particulate polymer or liquid pre-polymer, and the weight of the ester is about 0.1 % to about 50 % of the weight of the particulate polymer or liquid pre-polymer.

37. The film-forming composition of claim 35 wherein the film-forming composition comprises a mixture of coalescent aids, the ester comprises at least about 5 wt.% of the mixture, the ester is derived from a fatty acid contained in an oil found in a plant or animal, and the unsaturated fatty acid comprises at least about 50 wt.% of the fatty acid content of the oil.

38. The film-forming composition of claim 34 wherein the film-forming composition comprises a mixture of coalescent aids, the ester comprises at least about 5 wt.% of the mixture, the ester is derived from a fatty acid

contained in an oil found in a plant or animal, and the unsaturated fatty acid comprises at least about 50 wt.% of the fatty acid content of the oil.

## ABSTRACT

The present invention provides a film-forming composition comprising a particulate polymer or emulsified liquid pre-polymer, water and a coalescent aid comprising an ester having the formula  $RCOOX$  wherein R and X are independently hydrocarbyl or substituted hydrocarbyl, and at least one of R and X contain at least two unsaturated carbon-carbon bonds. The coalescent aid helps lower the minimum film formation temperature of low glass transition temperature coatings and high glass transition temperature coatings and allows optimum film formation at ambient temperatures. The coalescent aid of this coating composition is not volatile like conventional coalescent aids but rather remains part of the film and air oxidizes to cure the film. This coating composition also exhibits properties of adhesion and gloss superior to that of coating compositions containing conventional coalescent aids. Additionally, this coalescent aid can be made from natural or synthetic oils.

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**DECLARATION AND POWER OF ATTORNEY**

**REGULAR OR DESIGN APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

WATER BORNE FILM-FORMING COMPOSITIONS

the specification of which:

(check one)

is attached hereto

was filed on \_\_\_\_\_ as Application Serial No.  
\_\_\_\_\_, and was amended on \_\_\_\_\_.

was described and claimed in PCT International Application  
No. \_\_\_\_\_, filed on \_\_\_\_\_ and as amended  
under PCT Article 19 on \_\_\_\_\_, if any.

**ACKNOWLEDGEMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR**

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations §1.56.

**PRIORITY CLAIM**

I hereby claim foreign priority benefits under Title 35, United States Code, §119 (a) - (d) or §365(b) of any foreign application for patent or inventor's certificate, or §365(a) of any PCT application which designates at least one country other than the United States of America, listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Priority Claimed

(Number)	(Country)	(Day/Month/Year Filed)

Priority Not Claimed

**ANY FOREIGN APPLICATION(S), ON THE SAME SUBJECT MATTER WHICH HAS A FILING DATE EARLIER THAN THE EARLIEST APPLICATION FROM WHICH PRIORITY IS CLAIMED**

(Number)	(Country)	(Day/Month/Year Filed)

**CLAIM FOR BENEFIT OF PROVISIONAL APPLICATION(S)**

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.

60/125,446	March 22, 1999
(Application Number)	(Filing Date)

(Application Number)	(Filing Date)

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**CLAIM FOR BENEFIT OF EARLIER U.S. APPLICATION(S)**  
**UNDER 35 U.S.C. 120**

(complete this part only if this is a divisional,  
continuation or CIP application)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

(Serial No.)	(Filing Date)	(Status)

(Serial No.)	(Filing Date)	(Status)

**POWER OF ATTORNEY**

I hereby appoint the following attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Irving Powers (15,700), Donald G. Leavitt (17,626), John K. Roedel, Jr. (25,914), Michael E. Godar (28,416), Edward J. Hejlek (31,525), William E. Lahey (26,757), Richard G. Heywood (18,224), Frank R. Agovino (27,416), Kurt F. James (33,716), G. Harley Blosser (33,650), Paul I. J. Fleischut (35,513), Vincent M. Keil (36,838), Robert M. Evans, Jr. (36,794), Robert M. Bain (36,736), Joseph A. Schaper (30,493), Kathleen M. Petrillo (35,076), David E. Crawford, Jr. (38,118), Paul A. Maddock (37,877), Scott A. Williams (39,876), Richard L. Bridge (40,529), David M. Gryte (41,809), Christopher M. Goff (41,785), James E. Butler (40,931), Derick E. Allen (43,468), Matthew L. Cutler (43,574), Michael G. Munsell (43,820), Robert J. Lewis (27,210), Patrick S. Eagleman (44,665), Karen Y. Hui (44,785), Anthony R. Kinney (44,834), Brian P. Klein (P-44,837), Sarah J. Chickos (P-46,157), Donald W. Tuegel (P-45,424), Steven M. Ritchey (P-46,321), all of the law firm of SENNIGER, POWERS, LEAVITT & ROEDEL, One Metropolitan Square, 16th Floor, St. Louis, Missouri 63102.

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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